

# **Performance Management Manual**

**Creating a Culture  
for Sustainable  
High Performance**



**John West-Burnham and Ingrid Brad**

# **Performance Management Manual**

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High Performance**

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and  
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First published in Great Britain 2003

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ISBN 0 273 66331 3

*British Library Cataloguing in Publication Data*

A CIP catalogue record for this book can be obtained from the British Library.

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10 9 8 7 6 5 4 3 2 1

Typeset by Pantek Arts Ltd, Maidstone, Kent.

Printed and bound in Great Britain by Ashford Colour Press Ltd, Gosport, Hampshire.

*The Publishers' policy is to use paper manufactured from sustainable forests.*

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# Abbreviations

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AST	Advanced Skills Teacher
CPD	Continuing Professional Development
DfES	Department for Education and Skills
GCSE	General Certificate of Secondary Education
ICT	Information and Communication Technology
INSET	In-service Education and Training
LEA	Local Education Authority
NPQH	National Professional Qualification for Headship
NQT	Newly Qualified Teacher
Ofsted	Office for Standards in Education
SIP	School Improvement Plan
SWOT	Strengths, Weaknesses, Opportunities and Threats

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# Introduction

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Performance management is one of the most contentious aspects of educational reforms in recent years. Many national education systems have introduced performance management approaches ranging from the draconian to the liberal. At the heart of all of them is a concern to maximise the efficiency of school systems by ensuring that outputs are at optimum levels. The performance of schools has come to be measured in quantitative outcomes, which in turn have led to a focus on the ability of individual teachers to deliver ever-increasing levels of measurable outcome. This has led to the introduction in school systems of two largely discredited business management methods – management by objectives and payment by results. Both have their place in certain types of business but both have been widely recognised as failing to guarantee sustainable high results. The simpler the business the more likely they are to work. The more complex the activity the less appropriate they are. There is no human activity more complex than educating a child.

This manual is not a guide on how to implement government performance management schemes. There is abundant advice available from the government itself, local education authorities and the professional associations. What this manual seeks to do is to act as a resource to help schools develop a culture of sustainable high performance which is clearly focused on improvement. In a professional environment such improvement is only achieved through effective leadership, a culture of professionalism and recognition of the centrality of learning to all educational activities. Although all schools have to implement externally generated policies, they still have significant capacity to determine how they work, the quality of professional relationships and the culture and ethos that make them distinctive.





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# Understanding performance

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## INTRODUCTION

This first chapter provides an overview of the issues involved in developing a coherent, professional and sustainable approach to performance management in schools. The topics covered are:

- why performance management is an issue in schools
- developing a definition of performance management
- identifying the benefits of performance management
- analysing the readiness of the school for performance management
- the practical issues involved in making a performance management strategy work
- the components of a school's performance management policy.

## WHY IS PERFORMANCE AN ISSUE IN SCHOOLS?

For many years the only use of the term performance management would have been in reference to the annual play or concert. There was reference to 'poor performance' but it was almost impossible to find reference to 'acceptable' or 'average' performance let alone 'high' or 'outstanding' performance. The 1990s saw a major change in the approach to performance in schools with the introduction of appraisal in 1991 and performance management in 2000. The intervening years saw major changes in the attitudes towards the management and measurement of performance with the introduction of:

- Ofsted inspections
- the publication of league tables.

These measures were in response to what were perceived to be significant levels of under-achievement in the school system. How valid that perception was, and how

appropriate the responses, is a matter of political opinion and personal judgement. The fact remains that performance management is now part of the legal and contractual basis of employment in schools.

A major issue is the variation between schools, in terms of measurable outcomes, located in areas of similar socio-economic backgrounds. Even more worrying is the variation within schools – the fact that some teachers and departments produce excellent results and others don't. In the final analysis performance management can be seen as being about consistency – of ensuring the entitlement of every pupil to the most appropriate and effective education.

A first concern for school leaders in approaching performance management is the basis on which it might be justified. The basis of justification is very important as it will determine the language and attitudes around performance management and so the culture in the school. A number of arguments can be put forward to justify the emphasis on performance in schools, as listed in Table 1.1.

**Table 1.1 Justifying performance management in schools**

<b>Rationale</b>	<b>Comments</b>
Legal and contractual	Performance management is a statutory requirement – it is the law Teachers are employees and their employers have the right to define standards of work Teachers are professionals
Accountability	The reputation and long-term survival of the school depends on high performance Schools are a public service and should be held accountable There is an issue about what should be measured and how
Professionalism	One of the characteristics of professionalism is a commitment to work of the very highest stands Professionals set their own work standards This approach has led to failing schools
Moral	Every child has a right to the most appropriate and effective education Moral rights have to be balanced by available resources and are mediated by policy

Workshop 1.1 provides an opportunity to explore these issues in more depth.

## DEFINING PERFORMANCE MANAGEMENT

Much of this manual is devoted to the issue of how performance might be defined. As a starting point, consider these two quotations from O'Neill and West-Burnham (2001, p. 4):

*... the successful completion within a given time frame of the variety of definable, observable and measurable teaching or management actions that may reasonably be expected of an individual who has specific, statutory and contractual responsibilities.*

*... a disposition to exercise one's professional judgement in ways that enhance the pursuit of collectively and broadly defined long-term educational goals.*

Clearly these two positions represent a polarity that does not exist in the real world. All professionals have to balance personal autonomy with organisational imperatives. Such a balance might lead to the following proposition about performance management in schools:

- a strategy for maximising the effective and efficient deployment of human resources in the school
- a professional dialogue that supports the process of translating shared values into consistent practice
- a means of recognising and rewarding the most effective performers, developing the average and supporting the poor performers
- a process that provides systematic analysis and diagnosis of personal development needs in order to support professional learning and contribute to the achievement of school goals and values.

The way in which performance management is defined in a school's policy is of fundamental importance as it will be a significant factor in determining attitudes towards it. It should be an alternative manifestation of the school's core purpose and values (see Chapter 3).

Workshop 1.2 explores these issues in greater depth.

## **THE BENEFITS OF PERFORMANCE MANAGEMENT**

Any debate around performance management in schools should include reference to the potential benefits as well as the reasons for actually doing it. Possible benefits of a performance management system might include:

- greater consistency in pupils' learning experiences
- higher levels of attainment for the school
- enhanced staff capability and capacity
- higher-quality learning and teaching
- clearer expectations and better support for individual teachers
- better focused leadership and management support
- the creation of a high-performance culture in school
- teachers having greater control over their professional learning and career development
- sustainable preparation for Ofsted, Investors in People etc.
- high-quality working relationships.

## **READINESS FOR PERFORMANCE MANAGEMENT**

Many of the issues influencing the successful implementation of a performance management strategy are attitudinal. This is inevitable given the imposition of a national system, the implications for pay and for career development and the overall climate of formal accountability. These attitudinal issues are discussed in more depth in Chapter 10 but an important element in building confidence in any innovation is to ensure that it is credible and reliable – that it is fair and consistent and actually does what is outlined in the policy.

An important element in introducing and sustaining a performance management strategy is to make sure that a range of elements are in place that will ensure that performance management makes a genuine and valid contribution to school management and leadership rather than being a bolted-on addition. Readiness for performance management will depend on a number of factors being in place.

## **Commitment**

There is a genuine commitment in the school to become a high performance organisation. Without this commitment by all staff, performance management will not work. This is about motivation and engagement and the creation of a culture of improvement and growth. For some schools this will be a matter of survival, for others a matter of sustaining high performance. Unless there is this overall shared sense of purpose, performance management will be at best an irrelevant chore, at worst a source of negativity and alienation. (This issue is the central theme of Chapter 10.)

## **Leadership and management relationships**

Leaders in the school see their role as primarily concerned with the coaching and development of their colleagues, not just with the efficient management of resources. Team leaders have a clear sense of their responsibility for the effectiveness of their team members and there is a recognition that the school only works through effective human relationships. The school has a coherent management structure in which leadership relationships are clearly set out and influence day-to-day working relationships.

## **Focus on development**

The school is a learning organisation. Continuing professional development is seen as axiomatic to the work of the teacher and leader. INSET is not an event, for example going on a course, but rather a carefully constructed and designed organisational and personal strategy which is focused on building sustainable capacity. The school is a learning community.

## **A culture of continuous improvement**

The school has to see itself as being an organic institution with a commitment to growth and change. There has to be a willingness to question and challenge existing practice and to explore alternative means of working. There is an unwillingness to accept the idea that the school has reached a 'steady state' or equilibrium and that there is nothing that can be improved. The school has a clear sense of shared purpose.

## **Alignment**

There is high consensus as to where the school is going. There is a clear agreement on the common purpose and values. Every person who works in the school knows, shares and understands the principles by which the school works. The shared values inform all aspects of the daily life of the school.

## **Openness**

Relationships between staff are positive and open. Feedback is sought and given as a natural component of working relationships. Ideas and views are freely exchanged and there is high positive regard.

## **Review and monitoring**

Every aspect of the school's work is automatically subject to review and monitoring. Every lesson, meeting and project has review built in; the classic learning and management process – plan, act and review – is manifested in every aspect of the school's work. Monitoring is seen as an essential component of review. The school is data-rich and learning and leadership are evidence-based. One of the key characteristics of high performing organisations is that they have abundant evidence on which to base decisions.

## **Skills**

The high performing school has a very high level of skills in order to ensure the optimum effectiveness of every process. In particular there is an emphasis on the development of interpersonal skills, which are the basis of effective learning and teaching, leadership and performance management. Closely related to these skills is coaching (notably giving feedback and target-setting), classroom observation and monitoring performance and the ability to provide sensitive and empathetic support.

## **MAKING PERFORMANCE MANAGEMENT WORK**

Quite apart from all the organisational issues involved in setting up a performance management strategy in a school, there are a number of pre-conditions that need to be agreed.

- What protocols about confidentiality should inform the performance management process?
- What resources, especially time, will be made available?
- How will classroom observation be managed?
- What training will be available?
- How will the process be linked to pay and promotion?
- What sort of appeals system will be in place?
- How will the advice of the professional associations be incorporated into the school's scheme?
- Should individuals be able to choose their appraiser?
- What changes will be needed in the roles of potential appraisers? How will these be agreed?
- What is the role of the governing body in the process?
- How will the process be fitted into the school's calendar?

The answers to most of these issues will be found in Department for Education and Skills guidelines, the advice provided by local education authorities and the professional associations. There are clearly issues that need to be resolved at a very early stage of the implementation of the performance management strategy as they all have significant implications for confidence and credibility.

## **DEVELOPING A PERFORMANCE MANAGEMENT POLICY**

We hope that working through this manual will provide you with the basis for developing a performance management policy that is distinctive and appropriate to your school. A model performance management policy can be found at [www.teachernet.gov.uk](http://www.teachernet.gov.uk) and this provides definitive guidance on the implementation of the performance management regulations.



A performance management policy should answer the following questions.

- What is the rationale for performance management in the school?
- How will performance management change roles and responsibilities?
- How will performance management fit into the school calendar?
- What form will the performance management cycle take?
- How will performance management be linked to pay and career development?
- How will performance management relate to other school processes and policies?
- What will be the school's policy on confidentiality?
- What right of access will individuals have to documentation?
- How will complaints about the process be dealt with?
- What will be the relationship between performance management and capability and disciplinary procedures?
- How will the performance management process be monitored and evaluated?

<p>These questions can be explored in greater depth using Workshop 1.6.</p>
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# Workshop materials

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Workshop 1.1**UNDERSTANDING DIFFERENT APPROACHES TO  
PERFORMANCE MANAGEMENT**

Consider the issues and positive and negative implications of different approaches to performance management outlined on page 2.

	<b>Positive</b>	<b>Negative</b>
<b>Legal and contractual</b>		
<b>Accountability</b>		
<b>Professionalism</b>		
<b>Moral</b>		

## Workshop 1.2

# DEFINING PERFORMANCE MANAGEMENT

For each of the following propositions:

- (a) Highlight those elements that fit in with your beliefs about performance management
- (b) Delete those elements with which you disagree
- (c) Assemble the positive statements into a synthesis that might then form the basis of a definition of performance management for your school.

### **Propositions**

- 1 A strategy for maximising the effective and efficient deployment of human resources in the school.
- 2 A professional dialogue that supports the process of translating shared values into consistent practice.
- 3 A means of recognising and rewarding the most effective performers, developing the average and supporting the poor performers.
- 4 A process that provides systematic analysis and diagnosis of personal development needs in order to support professional learning and contribute to the achievement of school goals and values.

### **Synthesis**

### Workshop 1.3

## THE BENEFITS OF PERFORMANCE MANAGEMENT

- 1 This is a prioritisation exercise. Rank the list of benefits: 1 = high, 10 = low. This activity can be done individually and then extended to groups to build up a consensus in the school as to what the benefits of performance management should be.

	Rank
Greater consistency in pupils' learning experiences	
Higher levels of attainment for the school	
Enhanced staff capability and capacity	
Higher-quality learning and teaching	
Clearer expectations and better support for individual teachers	
Better focused leadership and management support	
The creation of a high-performance culture in school	
Teachers having greater control over their professional learning and career development	
Sustainable preparation for Ofsted, Investors in People etc.	
High-quality working relationships	

Workshop 1.3 (continued)

2 Using the list of benefits in Workshop 1.3 (1), consider how performance management might benefit the following groups. Use each category more than once if necessary.

<b>Teachers</b>	<b>Pupils</b>
<b>Other staff</b>	<b>The school</b>

What are the implications of your analysis? Make a list in the box below.

### Workshop 1.4

## READINESS FOR PERFORMANCE MANAGEMENT (1)

Rank each of the categories discussed in the text on the following scale:

A = fully in place, high confidence and consistency

B = largely in place but limited in confidence and consistency

C = a major developmental area.

Genuine commitment to improvement	A	B	C
Leadership distributed through the school	A	B	C
Focus on continuing professional development	A	B	C
A culture of continuous improvement	A	B	C
Alignment of purpose and values	A	B	C
Open relationships	A	B	C
Priority on review and monitoring	A	B	C
Widely available skills	A	B	C

It may be appropriate to use this inventory as the basis of a survey in school. In our experience the more senior the status of the respondent the higher the score! This survey could be followed with Workshop 1.5 to generate whole-school suggestions for action.



Workshop 1.5**READINESS FOR PERFORMANCE MANAGEMENT (2)**

Using the results from Workshop 1.4, complete the table below, ranking the items according to the score given.

Rank	
1st	
2nd	
3rd	
4th	
5th	
6th	
7th	
8th	

What action do you need to take in respect of:

- 1 Sustaining the categories graded A?
- 2 Developing the categories graded B?
- 3 Radically improving the categories graded C?

### Workshop 1.6

## THE PERFORMANCE MANAGEMENT POLICY

This workshop can be used as the agenda for meetings to ensure that the school's performance management policy is comprehensive, systematic, detailed and clear.

This workshop can also be used as a review when you have completed all the elements in this manual.

- |    |  |
|----|--|
| 1  | What is the rationale for performance management in the school?  |
| 2  | How will performance management change roles and responsibilities?                                       |
| 3  | How will performance management fit into the school calendar?  |
| 4  | What form will the performance management cycle take?  |
| 5  | How will performance management be linked to pay and career development?                                 |
| 6  | How will performance management relate to other school processes and policies?                           |
| 7  | What will be the school's policy on confidentiality?   |
| 8  | What right of access will individuals have to documentation?   |
| 9  | How will complaints about the process be dealt with?   |
| 10 | What will be the relationship between performance management and capability and disciplinary procedures? |
| 11 | How will the performance management process be monitored and evaluated?                                  |



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# The high-performance school

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## INTRODUCTION

A performance management strategy will not, of itself, lead to high performance in the school. The strategy is only one of a complex range of variables which, when combined, increase the potential and capacity in a school to raise performance. The performance management strategy is part of the management infrastructure that helps to ensure consistency and sustainability.

This chapter therefore focuses on the characteristics of the high-performance school and provides an opportunity to review the extent to which the school has all the necessary components in place to support performance management.

## CHARACTERISTICS OF THE HIGH-PERFORMING SCHOOL

From all the work that has been done on the characteristics of effective schools, improving schools and quality schools it is possible to isolate a range of common criteria that appear to be necessary, if not sufficient, for a school to achieve consistent and sustainable high performance. In summary these characteristics are:

- a shared value system
- a common understanding of the core purpose of the school
- a clear sense of the long-term vision of the school
- leadership – which is shared and focused on learning
- a culture that is focused on achievement and success
- values-driven management systems
- clear and consistent expectations and definitions of performance
- whole-school learning and development strategies.

It is impossible to prioritise this list and produce a set of criteria that will apply to all schools. Nor is it appropriate to try and develop the generic attributes of each characteristic. This list represents an agenda for continuing debate, discussion and codification. The process of negotiation and consultation is, of itself, a significant manifestation of a school that is committed to developing an understanding of high performance.

Workshop 2.1 provides an opportunity to review the extent to which these criteria are met in your school.

The following definitions will help to clarify the full implications of each characteristic.

### **Shared values**

It is almost axiomatic that effective and high-performing organisations have shared values. The value system of a school acts as its bedrock, the foundation on which all other structures and systems are based. The specific values a school adheres to will, of course, be contingent on a number of variables: for schools with a religious affiliation the teaching of their faith will provide a comprehensive value system; for other schools values will be a product of context and history.

What is important is that the value system is:

- shared and practised by all
- used to inform decision making
- expressed through the school's culture
- used as a benchmark to inform review and evaluation.

In a pluralist society it is difficult, if not impossible, to ensure a complete hegemony – in fact it is highly undesirable. What is important is a sense of common purpose and a shared moral language that informs action.

### **Core purpose**

The clarity of the core purpose of a school is vital to any strategy for improvement, effectiveness or high performance. Ambiguity or uncertainty about purpose inhibits, or

actually prevents, a focus on performance. The core purpose grows out of the value system and serves as the primary focus for the direction of resources, energy and commitment. For many schools the core purpose is implicit in their habitual practice. However, at a time of significant debate about the nature and purpose of schools, clarification of core purpose is vital to organisational coherence.

Most governments prescribe a core purpose for their schools – and that is a given as it forms the basis of accountability. For many, educational systems standards, usually interpreted as literacy and numeracy, are dominant, together with notions of economic viability and citizenship. A school's core purpose will inevitably be a permutation of a number of variables. But its distinctiveness (and its capacity to perform) will be a product of its own prioritisation. Core purpose will be a permutation of the following variables:

- academic success
- raising standards of literacy and numeracy
- the enhancement of pupil well-being
- developing social capability
- creating a capacity for life-long learning
- transmitting religious and cultural values
- preparing for employment
- developing the child as a moral being.

None of these is mutually exclusive – it is the prioritisation of the permutations that gives a school its distinctive character and culture. Such prioritisation will also define the nature of performance in the school.

## **Vision**

The vision of a school is the articulation of the consensual view of its long-term, or strategic, intentions – it is how the school should be, the future desired state. The vision therefore defines the nature of performance in the future but also identifies the actions that are necessary in the short and medium term to achieve the desired future state.

In many ways the vision is an extrapolation of the values and core purpose to take account of a rapidly changing and dynamic context. However, this vision is also important because it is aspirational, because it provides a challenge and provides the overall goals of the school. A vision is much more than a strategic plan or a set of strategic intents – it has to be the energising and motivating component of the school's organisational life. It may well be that the vision of a school is the ultimate performance standard from which all other standards are derived. The vision therefore has both formal and affective dimensions; it needs to be:

- compelling and challenging
- aspirational yet attainable
- capable of informing leadership action
- translatable into management structures and systems
- motivating and engaging
- known, shared and understood.

The vision statement of a school might refer to a range of desired states with regards to:

- academic success and standards
- the emerging core purpose of the school, e.g. performing arts, technology, sport, learning
- the school as a community within a wider community.

## Leadership

Leadership is fundamental to sustainable high performance – management of performance will work in the short-term for limited outcomes but leadership is one of the most significant variables informing performance. This is best demonstrated in the work of Goleman (2002, p. 55):

### *LEADERSHIP AND PERFORMANCE*

#### *The Leadership Repertoire*

##### *VISIONARY:*

*Moves people towards shared dreams and values*

*Most strongly positive impact on climate*

**COACHING:**

*Focuses on individual capability and engagement*

*Highly positive impact on climate*

**AFFILIATIVE:**

*Builds networks and personal relationships*

*Positive impact on climate*

**DEMOCRATIC:**

*Secures engagement through participation*

*Positive impact on climate*

**PACESETTING:**

*Sets challenging goals*

*Often highly negative impact on climate*

**COMMANDING:**

*'Do it because I say so'*

*Often highly negative impact on climate.*

Goleman's model draws a direct link between leadership behaviour and organisational climate and performance. However compelling this model is, it is important to emphasise the importance of the concept of leadership in depth, i.e. not just the behaviour of the headteacher or chief executive but of every individual in a position who has authority and responsibility for the work of others.

## **Culture**

Culture is an elusive and intangible concept and cannot be reduced to a few simplistic formulations. The defining manifestation of the culture of a high-performing school is a shared and consistent emphasis on achievement and success. The work of leaders and teachers focuses on creating opportunities for success and then reinforcing and celebrating that success. There are rituals and ceremonies that are given high status and significance to reinforce the importance of success. The language of the school is expressed through a focus on success and the rewards associated with success have high status.



The culture of success is reinforced through:

- widely distributed opportunities for success
- public recognition and celebration
- making assessment success-orientated
- focusing on individual, team and organisational success
- regarding failure and mistakes as formative and developmental
- defining success in terms of improvement rather than competition.

### **Values-driven management**

It is not enough to have leadership and a culture that supports high performance; the focus on achievement must permeate every structure and system. There is the danger in any organisation that management becomes managerialism – a self-serving bureaucracy. In the high-performance school every structure and system is focused on reinforcing and sustaining performance, improvement and success. This means that every organisational relationship and process is designed to enhance the capacity to perform. Thus each of the following is defined in terms of performance:

- job definitions, recruitment and selection
- management roles and responsibilities
- the work of support and administrative staff
- monitoring, review and reporting procedures
- school policies – especially those for learning and teaching and behaviour
- the school as a learning environment
- collection and management of data.

### **Expectations and definitions of performance**

In many ways this is another manifestation of the culture of success but it is more specific and grounded in behaviour and management processes. The high-performance school is explicit about its expectations and defines levels of performance so that there

can be no ambiguity. Expectations are invariably expressed as positives rather than negatives and are widely available throughout the school – on walls, in corridors, in exercise books, in staff handbooks. Expectations and definitions are available for:

- effective learning and teaching
- the effective lesson
- criteria for assessment
- organisation and presentation of work
- codes of conduct
- health and safety issues
- standard operating procedures
- job descriptions
- planning, review and evaluation procedures.

### **Learning and development strategies**

Performance management is about much more than the analysis of performance and the diagnosis of developmental needs. It is equally concerned with the meeting of those needs through a sophisticated developmental strategy. This means that a school needs a comprehensive and systematic approach to professional learning that ensures the optimum relationship between organisational standards, individual levels of performance and collective and individual development strategies.

Strategies for professional learning and development might include the following characteristics:

- systematic and negotiated diagnosis and needs analysis
- teachers as learners in a learning community – a ‘community of practice’
- work-based learning with leaders as coaches and individual learning programmes
- systematic monitoring and feedback against models of best practice
- a culture of continuous improvement.

Workshop 2.1 provides a diagnostic inventory for use in school.



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# Workshop materials

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Workshop 2.1**THE CHARACTERISTICS OF THE  
HIGH-PERFORMANCE SCHOOL**

Rank your school against each criterion:

1 = not really present; 7 = clear and pervasive.

1 Explicit values inform all aspects of school life

1	2	3	4	5	6	7
---	---	---	---	---	---	---

2 The core purpose of the school informs all activity

1	2	3	4	5	6	7
---	---	---	---	---	---	---

3 The school's vision is known, shared and understood

1	2	3	4	5	6	7
---	---	---	---	---	---	---

4 Leadership is shared and focused on learning

1	2	3	4	5	6	7
---	---	---	---	---	---	---

5 The school has a culture of success and achievement

1	2	3	4	5	6	7
---	---	---	---	---	---	---

6 All management processes are vision and values-driven

1	2	3	4	5	6	7
---	---	---	---	---	---	---

7 The school has clear expectations and definitions of performance

1	2	3	4	5	6	7
---	---	---	---	---	---	---

8 There is a clear commitment to learning and development

1	2	3	4	5	6	7
---	---	---	---	---	---	---

Workshop 2.2**PERCEPTIONS OF THE  
HIGH-PERFORMANCE SCHOOL**

For each of the following categories consider: (a) what definitions of high performance they would use, and (b) how they would judge the present performance of the school.

	<b>Definitions of performance</b>	<b>Current level of performance</b>
<b>DfES, Ofsted, LEA</b>		
<b>Governors</b>		
<b>Parents and community</b>		
<b>Pupils</b>		
<b>School leadership</b>		
<b>Staff</b>		

### Workshop 2.3

## DEVELOPING THE HIGH-PERFORMANCE SCHOOL

Based on the analysis of the results of Workshops 2.1 and 2.2 and with reference to the criteria for each component outlined in this section, what action needs to be taken for each of the following aspects of the high-performance school?

<b>1 A shared values system</b>	
Current situation	Action required
<b>2 There is a common understanding of the core purpose</b>	
Current situation	Action required
<b>3 The school's vision is known, shared and understood</b>	
Current situation	Action required
<b>4 Leadership is shared and focused on learning</b>	
Current situation	Action required
<b>5 There is a culture of success and achievement in the school</b>	
Current situation	Action required



Workshop 2.3 (continued)

<b>6 All management processes are vision and values-driven</b>	
Current situation	Action required
<b>7 Expectations and definitions of performance are clear</b>	
Current situation	Action required
<b>8 The commitment to learning and development is clear</b>	
Current situation	Action required

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# The performance management process

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## INTRODUCTION

This chapter explores the infrastructure of performance management – the necessary components to ensure that the structures and processes are in place to allow performance management to function effectively. Two crucial elements are examined:

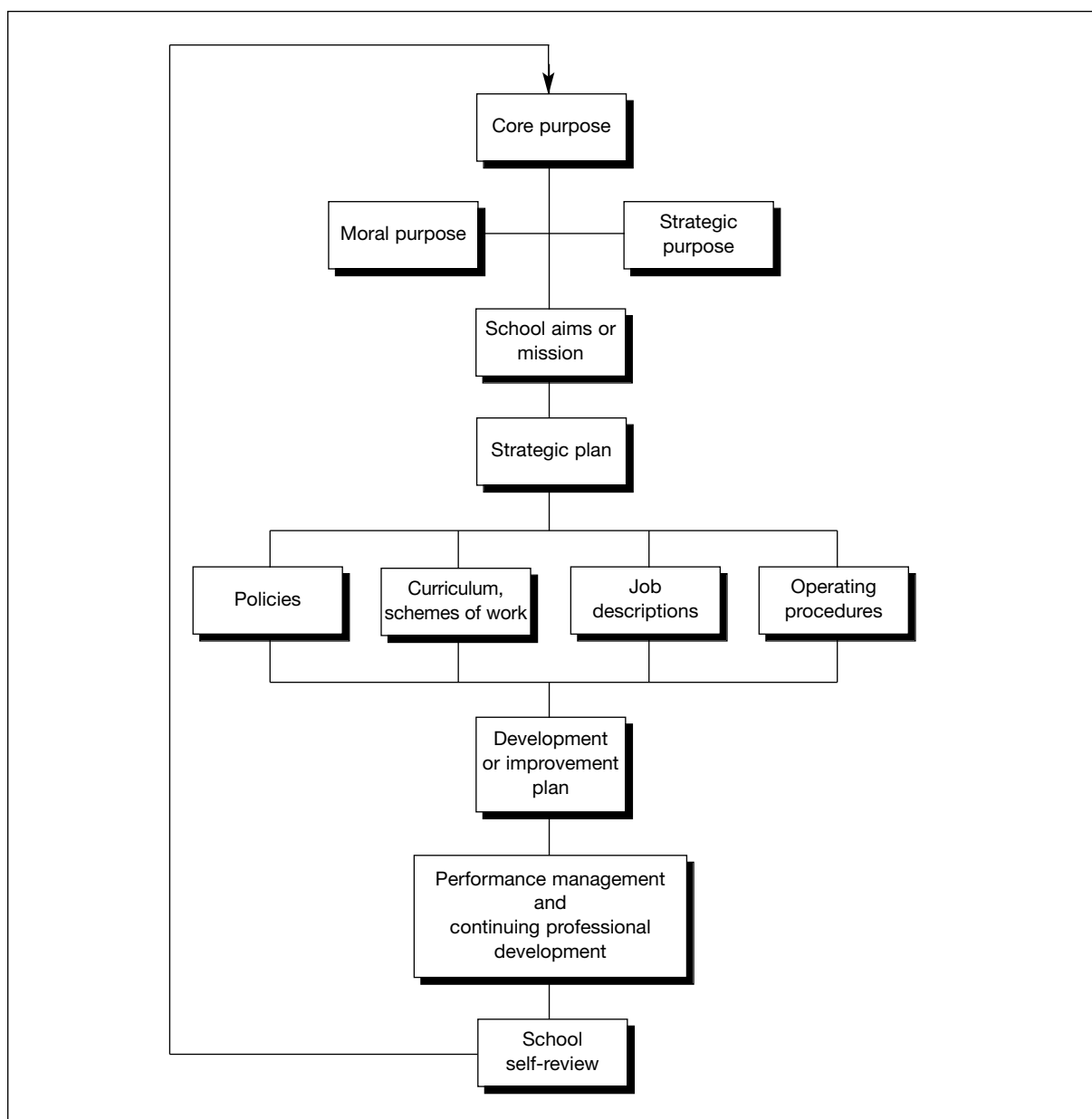
- the organisational infrastructure
- the performance management cycle.

## THE ORGANISATIONAL INFRASTRUCTURE

Figure 3.1 maps the essential elements of any approach to performance management. All the components are interactive and interdependent and together they help to answer a number of crucial questions:

- What are the principles by which we work?
- What sort of school do we want to be?
- Who does what?
- How do we know if we are improving?

A diagram such as Figure 3.1 inevitably creates an artificial sense of bureaucratic simplicity. However, it is essential to have a clear overview of the essential components and how they interrelate. These elements are the foundations on which performance is built.



**Fig. 3.1 The organisational infrastructure**

### Core purpose

This is fundamental to determining the nature of the school – indeed everything else is derived from the agreement of a school’s core purpose. There are multiple purposes available and, while they are not necessarily mutually exclusive or contradictory, it is essential that a school identifies its overarching purpose:

- academic success
- equity and inclusion

- employability and economic success
- preparation for adult life
- life-long learning
- social change.

This is a profound and fundamental debate, but no school can aspire to high performance until it has established its *raison d'être*.

### **Moral purpose**

Closely linked to core purpose is clarity about the moral purpose of a school. What should be the core values by which the school operates? What are the components of the moral consensus that is central to the school's culture? For faith schools this may be easier as they 'inherit' a rich tradition, but even that has to be interpreted. Inclusion is a moral issue, as are race, gender and sexuality. A moral consensus is an essential preliminary to judgements about performance.

### **Strategic purpose**

Effective, high-performing organisations know where they are going – how they aspire to be in the future. Strategic purpose is a recognition that schools operate in a complex and rapidly changing world and that the context in which they function will change. Therefore there needs to be a sense of how the school will respond to such trends as:

- information and communications technology
- the changing nature of work
- changes in society, community and family
- environmental and ecological change
- advances in neurological and genetic science.

### **Aims or mission**

Once a school has established its core, moral and strategic purposes then it is in a position to synthesise them into an aims or mission statement. This is for the school

what a job description is for the individual – a broad summary of the key principles by which priorities are established and performance judged. An effective aims or mission statement will meet the following criteria:

- it will be regularly reviewed and updated
- it will represent a broad consensus, with the whole school community sharing its fundamental principles and aspirations
- it will be known and understood by all members of the school community
- it will inform all school processes and structures
- it will be on the agenda.

Ideally the aims or mission statement will be short (one side of A4 is a good rule) and it will cover the following topics:

- the core purpose of the school
- the curriculum, learning and teaching
- the school as a community
- the school and the wider community
- a commitment to development and improvement
- inclusion and equity
- references to the specific nature of the school.

## **Strategic plan**

The strategic plan sets out the broad intentions of the school over a period of three to five years. Inevitably the more the plan moves into the future the less precise it will be until statements become aspirational rather than operational. The strategic plan will reconcile a number of imperatives:

- translating the principles of the aims or mission into practice
- providing an incremental strategy to implement significant changes, for example ICT, specialist college status, private finance initiative
- showing how pupils' achievements will be improved and sustained

- responding to external requirements, for example an Ofsted report
- initiating significant innovations, for example changes in classroom practice built around learning theory.

While the strategic plan should be a central priority of the leadership team and the governing body, it should be the product of widespread consultation and regular review.

## **Policies**

Policies are a vital component in the process of translating principle into practice. Policies should be the detailed articulation of the day-to-day practice in the school; they are a fundamental requirement of quality assurance and help to ensure consistency. An effective policy provides definitions, explanations and applications and serves as a benchmark of best practice. While some policies are statutory and some are covered by local agreements, most schools will have identified the policies they need to operate effectively:

- curriculum
- learning and teaching
- assessment
- inclusion and equal opportunities
- behaviour
- continuing professional development
- performance management
- child protection.

In many ways policies are a crucial source of definitions of performance.

## **Curriculum statement, schemes of work**

The curriculum statement may well be the curriculum policy – schemes of work are specific application by age and or subject. Both should include references to differentiation, progression and assessment. They might well include the criteria for effective learning and teaching discussed in Chapter 5.

## **Job descriptions**

The primary purpose of the job description is to translate every aspect of the school's work into individual terms. They are discussed in detail in Chapter 4.

## **Operating procedures**

These are most commonly found in schools in the form of a staff handbook. They should provide specific and practical guidance on a range of operational issues. Although often mundane they have significant implications for performance management as they are often the tangible expressions of effective performance in a number of crucial areas. They will cover such issues as assessment and reporting, managing resources, review and monitoring, CPD arrangements, etc.

## **Development or improvement plan**

This provides the short-term operational priorities for the school – in many ways it is a highly detailed budget that shows how specific aspects of strategy and policies will be put into effect. It is probably best understood as organisational target setting and it provides crucial criteria for performance management which is related to specific outcomes. The link between organisational and individual target setting is discussed in detail in Chapter 7.

## **Performance management and continuing professional development**

As was described in Chapter 1, performance management is fundamentally about professional development and this link is fully explored in Chapter 8. At this stage it is important to emphasise the integral status of continuing professional development in any performance management strategy. It is the means by which targets are reached and performance improved and sustained.

## **School self-review**

The concept of the self-reviewing school is central to any notion of high performance or sustained improvement. The focus on individual performance has to be matched by a focus on institutional performance. MacBeath (1999, pp. 5–8) argues that there are a number of reasons for what he describes as school self-evaluation:

- the political purpose
- the accountability purpose
- the professional development purpose
- the organisational development purpose
- the improvement of teaching purpose
- the improvement of learning purpose.

Although the first two are unarguably significant, the remaining four demonstrate the centrality of the school review and evaluation process.

(For much more detail on this topic see the companion manual in this series by McCall (1998).)

## **THE PERFORMANCE MANAGEMENT CYCLE**

In a perfect world performance management would be implicit in normal working relationships. However, in complex and very busy schools it is necessary to have a clear and explicit strategy that ensures consistency and equity. There are numerous models of the performance management process available and it is important that a school develops its own patterns of working. Certain key principles can be identified:

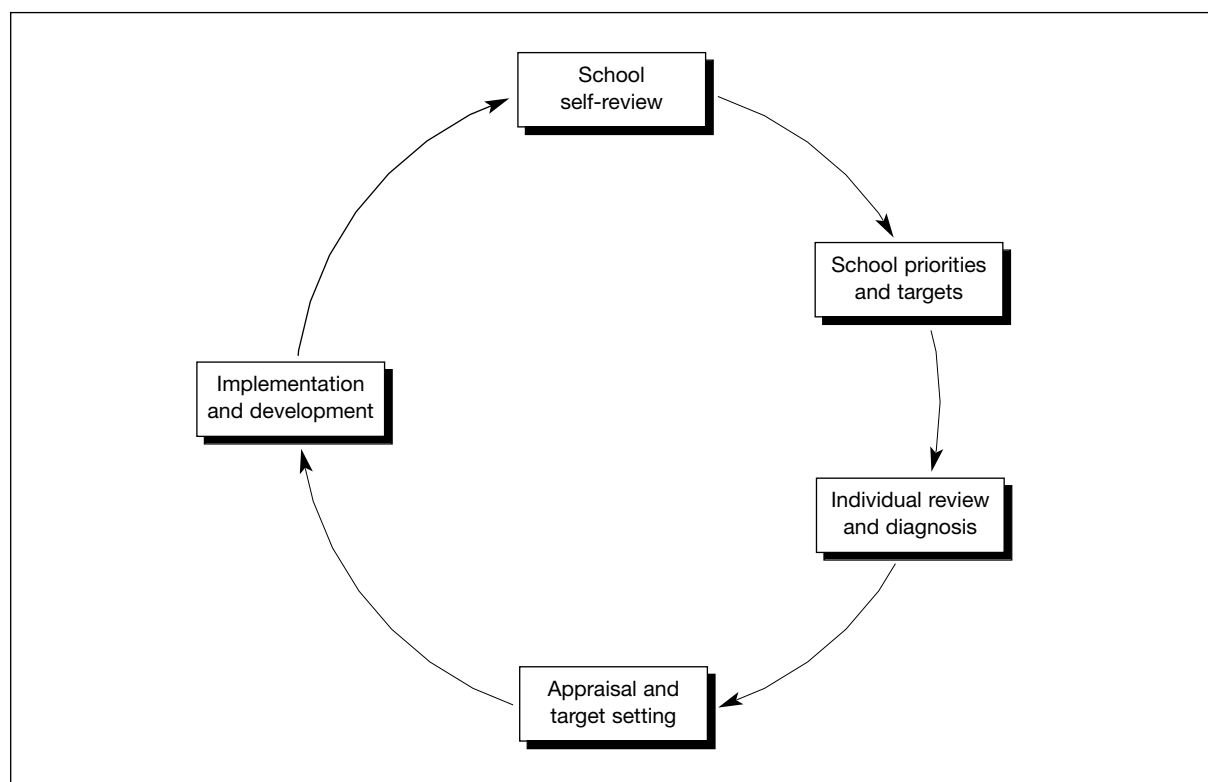
- The process should be manifestly open, consistent and equitable
- It should apply to everyone in the school
- It should be seen as a fundamental part of everyone's work
- There should be a clear link with other school processes, especially planning and budgeting.

Figure 3.2 shows an annual performance management cycle, although it is important to stress that this should be seen as part of a long-term process and not an isolated event.

### **School self-review**

This sets the context for the annual performance management cycle as it provides the evidence for school priorities in the planning process, budgeting, etc.





**Fig. 3.2 The performance management cycle**

### **School priorities and targets**

These might take the form of a development plan, an improvement plan or operational target setting for the whole school. Generally speaking the larger the school the more generic the plan will need to be as it must be applied in detail at departmental level. The priorities in the plan will need to be reflected in the budget and may require renegotiation of individual job descriptions to meet new demands.

### **Individual review and diagnosis**

This is at the heart of the performance management process and has three main components:

- review of personal performance against previously agreed targets and criteria
- feedback and analysis on the basis of classroom or task observation
- reviewing the accuracy and relevance of the job description.

(This aspect of performance management is discussed in detail in Chapters 6 and 7.)

## **Appraisal and target setting**

Appraisal is a problematic and tainted word. In this context it should be seen as a formative, developmental and negotiated process. The purpose of this stage is two-fold:

- to agree a formative review of the individual's performance over the previous year
- to negotiate appropriate targets.

(This process is discussed in detail in Chapter 7.)

## **Implementation and development**

This is the stage at which analysis becomes action through the implementation of activities to meet targets and engaging in appropriate professional development activities.

It is important to stress that the performance management cycle is not a 'closed' process. It should have two important characteristics. First, it is a continuous process: the end of one cycle marks the start of another – the process is on-going. Second, it is possible to think of many of the central activities of a school as a cycle. The effective lesson follows the same sort of logic – from statement of purpose through implementation to review. Most management activities follow the same rhythm. Performance management should be another expression of this same relationship:

- articulation of intentions
- translation into action
- review leading to the next cycle.



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# Workshop materials

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### Workshop 3.1

## THE ORGANISATIONAL INFRASTRUCTURE FOR PERFORMANCE MANAGEMENT

The purpose of this activity is to help you to review the extent to which the school has all the necessary components in place to support performance management.

Rank each component (a), (b) or (c):

- (a) recently reviewed, widely understood and accepted, implicit in the school's working
- (b) not reviewed for over a year, not fully understood or accepted, not fully utilised

	<b>a</b>	<b>b</b>	<b>c</b>
Core purpose			
Moral purpose			
Strategic purpose			
Aims and mission			
Strategic plan			
Policies			
Curriculum/schemes of work			
Job descriptions			
Operating procedures			
Development plan			
Performance management and CPD			
School self-review			

### Workshop 3.2

## ANALYSIS OF ORGANISATIONAL EFFECTIVENESS

Working with a small group, compare your individual scores and try to reach a consensus for each component. For those components that have scored (b) or (c) agree what action is needed.

Component	Score	Action
Core purpose		
Moral purpose		
Strategic purpose		
Aims and mission		
Strategic plan		
Policies		
Curriculum/schemes of work		
Job descriptions		
Operating procedures		
Development plan		
Performance management and CPD		
School self-review		

Workshop 3.3**THE ANNUAL PERFORMANCE CYCLE**

Refer to Figure 3.2 and complete a SWOT analysis of the cycle in your school.

<b>Strengths</b>	<b>Weaknesses</b>
<b>Opportunities</b>	<b>Threats</b>

Complete this on your own and then work with a group to produce a shared view of each category.



### Workshop 3.4

## ACTION PLANNING FROM THE SWOT ANALYSIS

Using the shared analysis developed in Workshop 3.3, consider how to:

- sustain and extend the strengths
- build on the opportunities
- minimise the weaknesses
- remove the threats.

	Action
<b>Strengths</b> 1 2 3 4 5	
<b>Weaknesses</b> 1 2 3 4 5	
<b>Opportunities</b> 1 2 3 4 5	
<b>Threats</b> 1 2 3 4 5	

---

# Defining the job

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## INTRODUCTION

This chapter considers the place of job descriptions in performance management. In a perfect world, job descriptions would not be necessary – clarity of purpose and shared values would be enough. But in a system where individual performance is subject to formal scrutiny, job descriptions are an entitlement to ensure equity and fairness. This chapter covers:

- criteria for effective job descriptions
- the components of the job description
- the use of the job description.

## CRITERIA FOR EFFECTIVE JOB DESCRIPTIONS

Job descriptions are central to effective performance management. They provide the core definitions of the basis on which individual performance is defined and provide a clear indication of personal accountabilities and responsibilities. All too often, unfortunately, job descriptions are generic lists of tasks often unrevised from year to year and not linked to other aspects of performance management in the school. To be effective a job description should meet the following criteria:

- It should be personal and specific to the post-holder
- It should be regularly reviewed as part of the performance management process
- It should be negotiated and agreed
- It should refer to ends, not means.

The job description is not a contract of employment, nor should it be a simplified restatement of the terms and conditions of employment. These are always implicit and assumed and although they provide the legal and contractual context for the job they do not provide the specific and personal information that is needed to inform performance. The purposes of a job description are:

- to provide a personal and up-to-date statement of the purpose and components of a specific job
- to indicate the key responsibilities and accountabilities
- to serve as the basis for performance review/appraisal, professional development and career planning
- to help individuals prioritise their workload
- to provide criteria to inform performance review.

When completed and agreed, job descriptions should be public – primarily to facilitate communication and to clarify professional relationships in the school.

## THE COMPONENTS OF THE JOB DESCRIPTION

To meet the purposes and principles outlined above, a job description needs to include the following elements:

- **Job title:** the commonly used and agreed title for the post, for example:
  - Key Stage 1 co-ordinator
  - Deputy Head: learning and teaching
  - Assistant teacher of technology
- **Accountable to:** this should indicate the person to whom the post-holder reports and is appraised by
- **Accountable for:** this should indicate the people that the post-holder has leadership responsibility for
- **Core purpose:** this is the pivotal element for the job description and, more than anything else, establishes the values and aims of the school in personal terms.

This core purpose should not be ‘to manage Key Stage 1’ or ‘to teach technology’. The core purpose should articulate the key principles that the school is working to achieve. For example:

*To lead the Key Stage 1 team to maximise the learning and achievement of every child*

or

*To contribute to the learning, achievement and academic success of every pupil through the teaching of technology.*

A school may wish to have a common core purpose statement which is personalised as appropriate:

*To contribute to the personal, social and academic development of every pupil by ...*

## **Key tasks**

These provide the detail about the component elements of the job – ideally they should be prioritised, but given the complexity of most teachers' work this can be very difficult. The key tasks should not be a list of things to be done; crucially, they should not be prescriptive – the detail of each element should be found in school policies, development and improvement plans, schemes of work, etc. Ideally there should be no more than seven or eight key task statements, certainly no more than ten. The more detail there is the more the school is operating a culture of control rather than trust. For a teacher with leadership responsibilities there need to be key statements covering:

- the leadership of the team
- management of resources
- contribution to school leadership systems and processes
- responsibility for the performance and development of the team
- responsibility for personal learning, development and well-being.

This list would be added to appropriate statements about classroom learning and teaching:

- the planning, delivery and assessment of the National Curriculum
- fostering the achievement, learning and personal and social growth of each child
- creating a safe and stimulating learning environment.

(Bowden (2001, pp. 28–31) provides examples of the processes that schools have used to generate such statements.)

Examples of key task statements:

- To lead the Key Stage 1 team to ensure that the school's strategic and improvement objectives are met

- To support the professional learning and development of the team through the implementation of the school's policy for continuing professional development
- To create a classroom that is a safe and stimulating environment in which every child is able to learn.

### **Generic statements**

Schools may wish to add generic statements to reflect their particular circumstances or ethos, for example to reflect their status as a faith school. It might also be appropriate to add a statement on equity and inclusion.

It is probably not appropriate or necessary to add the so-called 'slave clause' – '... and any other duties that might be required'. This is covered by a teacher's contract of employment.

## **USING THE JOB DESCRIPTION**

It is impossible to try to manage a person's performance if that performance has not been defined. The individual job description, when linked with appropriate school documentation, provides an agreed and public basis for review and development. The process of job clarification leading to an agreed job description is a fundamental component of the performance management process. It is not a 'one-off' process: teachers' jobs are dynamic – they change in focus and priority as new initiatives are introduced and specific duties are renegotiated. The process of job classification resulting in a job description can be used to:

- clarify the precise nature of the work of a newly appointed member of staff, i.e. the job specification is used as the appointments procedure is personalised
- help clarify the scope of the review process by serving as the basis of a negotiated agenda
- indicate the specific criteria that are relevant to the review process
- serve as the basis for negotiation of workload and prioritisation
- clarify continuing professional development needs
- support the development of effective teams
- facilitate succession planning.

There is always a danger that job descriptions will become bureaucratic constraints rather than serve as the basis for professional dialogue and personal development. As a general rule, the more effective a school is, the less the detail that is required in the job description. Ideally the school's values should serve as the basis for all activity – job descriptions are an interim phase – just as the effective classroom works on shared and implicit values, understanding and processes.



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# Workshop materials

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### Workshop 4.1

## REVIEWING THE JOB DESCRIPTION (1)

Use this review to establish the validity of your present job description.

1 My job description is unique to me	Yes	No
<i>Comment:</i>		
2 My job description has been reviewed in the past year	Yes	No
<i>Comment:</i>		
3 My job description has been negotiated and agreed with me	Yes	No
<i>Comment:</i>		
4 My job description tells me what to achieve, not how to achieve it	Yes	No
<i>Comment:</i>		
5 My job description defines the core purpose of my job and identifies between seven and ten prioritised key tasks	Yes	No
<i>Comment:</i>		
6 My job description is the starting point for performance review, planning CPD and career development	Yes	No
<i>Comment:</i>		
7 My job description is compatible with those of my team	Yes	No
<i>Comment:</i>		

### Workshop 4.2

## REVIEWING THE JOB DESCRIPTION (2)

Ask two people to answer the following questions about your job. Ideally, one should be a member of your team and the other somebody who has responsibility for your work.

1 The most important aspects of the job are:

2 The most significant outcomes of the job are:

3 The most important relationships in the job are:

4 Evidence for success in the job includes:

How well is your job understood by those you work with?

Workshop 4.3**REVIEWING TEAM JOB DESCRIPTIONS**

The purpose of this workshop is to help your team review the accuracy and completeness of its job descriptions. In column A list all the activities that the team actually does. In column B identify what the team's job descriptions actually say they do. Does column B coincide with column A?

<b>A</b> <b>What is actually done</b>	<b>B</b> <b>What the job descriptions say</b>

### Workshop 4.4

## PERSONAL JOB REVIEW

Use these questions to review the appropriateness and relevance of your job description.

1 What is the core purpose of my job?

2 What are the key components of my job?

3 For what am I responsible?

4 For whom am I responsible?

5 To whom am I responsible?

6 What authority do I have?

7 How do I know if I am doing a good job?

### Workshop 4.5

## THE JOB CLARIFICATION PROCESS

This workshop is best carried out in small groups (three or four people) in several short sessions. It can be used to produce common core purpose and key task statements which can then be personalised.

1 What are the fundamental values of the school?

2 What is the core purpose of the school?

3 What are the key tasks that have to be done to achieve the core purpose?

4 What are the outcomes that the school should be achieving?

On the basis of these responses the groups can begin to construct key task statements which can then be refined and debated. See Bowden (2001) for a case study of this process.

Once the shared statements have been agreed, individuals can begin the process of personalising them and assembling their own job descriptions, which can then be discussed as part of performance review.



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# Defining performance

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## INTRODUCTION

The purpose of this chapter is to provide a ‘resource bank’ of criteria to define the essential foundations of performance management since, quite simply, it is impossible to manage performance if there is not an appropriate definition of that performance. In fact it is probably not overstating the case to argue that it goes against the principles of natural justice to make a judgement about a person if the basis of that judgement is not explicit and clear. Performance criteria serve a number of purposes:

- They provide the basis for the collection of evidence
- They inform the making of objective judgements
- They provide a common frame of reference for discussion and interpretation
- They can be used to inform target setting
- They can inform the content and design of professional development activities.

These criteria are written in the abstract. They will only have value and significance when they are adapted and modified to suit a particular school context. The process of modifying these criteria and refining them to be acceptable and helpful is a very important process in creating a performance culture based on consent and engagement (see Chapter 10).

## PERFORMANCE CRITERIA

Although the criteria are presented here in specific sections, schools might well wish to organise them in groupings that are more suitable to their values and aims.

### **1 Effective learning**

- Pupils are able to demonstrate understanding
- The teacher builds on existing knowledge



- A range of cognitive strategies is employed
- New knowledge is related to personal understanding
- Individual learning styles are known, recognised and enhanced
- Pupils are able to choose from a range of learning strategies
- Assessment is designed to support learning
- Every pupil is given the opportunity to experience success
- There are opportunities for individual and shared review and reflection
- Meta cognitive strategies are explicitly addressed and developed.

## **2 Effective teaching**

- Lesson outcomes are clearly established at the outset
- The teacher has a clear understanding of the topic
- A wide range of teaching and learning strategies are used, appropriately matched to tasks
- There is a balance of challenge and support
- A wide range of resources are deployed
- Resources are professionally presented
- Resources are appropriate to age, aptitude and ability
- Progress and understanding are regularly monitored
- There is clear evidence of differentiation
- The lesson concludes with a summary and review
- Teaching is enthusiastic and dynamic.

## **3 The classroom as a learning resource**

- The classroom is clean, bright and well organised
- Pupils have easy access to resources when required
- Display is focused on materials to support learning
- Working protocols and safety instructions are clearly displayed

- Water is easily available
- Furniture is in good order
- Colour and images are used to create a stimulating environment
- There are alternative work spaces and areas.

#### **4 Classroom management**

- Lessons start and end in a purposeful way
- Expectations about behaviour are displayed and reinforced
- Sanctions are known and understood and applied consistently and fairly
- There is frequent positive reinforcement of appropriate behaviour
- Pupils' first names are used at all times
- Teachers are in regular interaction with pupils.

#### **5 Classroom relationships**

- There is a sense of positive regard and mutual respect
- The overall mood is calm and purposeful
- Teachers manage the emotional climate of the classroom
- Teachers use appropriate questioning styles with eye contact and positive feedback
- There is regular laughter and the use of humour
- Tensions and inappropriate behaviour are immediately addressed.

#### **6 Assessment**

- Feedback is formative and developmental
- Assessment schemes are explained to the pupils
- Assessment schemes are applied consistently
- Marking is consistent, constructive and supports learning
- Assessment is for learning, not of learning
- Reporting to parents is detailed, personal and consistent.

## **7 Inclusion**

- Teachers are aware of the range of ability, learning styles, motivation and aptitude in the class
- Lessons are prepared to allow genuine differentiation
- Lessons are designed to engage all pupils
- Provision is made for children unable to work at home
- The classroom is designed to ensure mobility and access for all
- Learning and teaching resources are easily understood and accessible to all.

## **8 Team leadership**

- Clear focus on values and purpose
- Support for individual team members through coaching
- Systematic monitoring and feedback on performance
- Participatory, data-based decision making
- Efficient and effective management and deployment of resources
- Implementation of school policies.

There is always a danger that criteria such as these become a bureaucratic straitjacket and so inhibit professionalism and creativity. To avoid this they must:

- be negotiated and the product of a consensus
- be subject to regular review and clarification
- be modified in response to experience.

It is a key responsibility of managers and leaders in the school to achieve a balance between ensuring a consistent entitlement for all and recognising the creativity and responsiveness of individual teachers.

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# Workshop materials

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### Workshop 5.1

## DEVELOPING SHARED CRITERIA FOR EFFECTIVE CLASSROOM PRACTICE

This workshop takes the form of a structured activity to develop shared criteria for effective classroom practice. The tasks can be modified to work with those in team leader/middle management roles, school leadership teams, classroom assistants and perhaps the governing body.

### **Programme**

Task 1	Individual	15 minutes
Task 2	Small groups	45 minutes
Task 3	Small groups	60 minutes
Task 4	Whole staff	30 minutes
	Small groups	30 minutes

If considered appropriate, examples of performance criteria from this chapter could be circulated at any stage.

Workshop 5.1 (continued)**Task 1** (*individual, 15 minutes*)

- 1 On the grid below identify four or five crucial aspects of your work as a classroom teacher.
- 2 For each aspect, what would you consider to be evidence of good or best practice?

Aspects	Best practice
1	
2	
3	
4	
5	

### Workshop 5.1 (continued)

**Task 2** (*small groups, 45 minutes*)

Compare your individual responses to Task 1 and produce an agreed common version of the crucial aspects of classroom practice and evidence of good or best practice.

Aspects	Best practice
1	
2	
3	
4	
5	
6	
7	
8	



### Workshop 5.1 (continued)

#### **Task 3** (*small groups, 60 minutes*)

- 1 Identify the different aspects that all the groups have picked out and merge them into an agreed list. Allocate one aspect per group.
- 2 Each group will then review what the school aims and policies already say about the aspect, review the outcomes of Task 2 and work to produce agreed criteria for that aspect. These should be displayed on flipchart paper.

**Aspect:**

**Criteria for effective performance**

•

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### Workshop 5.1 (continued)

**Task 4** *(60 minutes total)*

- 1 The flipcharts from Task 3 are displayed as a 'picture gallery' with all staff circulating and using 'Post-it' notes to question, comment and clarify.
- 2 The groups for Task 3 reassemble and modify their criteria in response to the feedback.
- 3 The revised criteria are then typed up and circulated.

## Workshop 5.2

# OBTAINING FEEDBACK FROM PUPILS

A powerful stimulus to the debate in Workshop 5.1 Task 3 could be to obtain feedback from pupils on their criteria for an effective lesson. There are a number of possible methods to obtain this data:

- 1 Free writing on the theme:  
  
    ‘I learn best when I ...’
- 2 Modified versions of Workshop 5.1 Tasks 1 and 2 used with classes
- 3 A simple prioritising exercise, for example pupils are asked to rank the following list:

<b>I learn best when:</b>	<b>Rank</b>
I understand what the lesson is about	
I work on my own	
I work with my friends	
We work in silence	
We can talk about the work	
There are lots of different things to do	
The teacher explains things to me	

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# Collecting the evidence

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## INTRODUCTION

Having established the criteria for effective performance in the school, the next stage is to develop a process by which the performance of individual teachers can be reviewed against the criteria and formative, negotiated judgements agreed. This is a complex and sensitive process which has no 'right answers'. It is also important to stress at this stage that the procedure for collecting evidence for capability or disciplinary purposes is very different and should not be confused with performance management.

## PURPOSE AND NATURE OF THE ACTIVITY

It is important for everyone in the school to have a shared understanding of the way in which evidence is collected and collated and the use to which this evidence is put. The process needs to be organised in a way that is particular to an individual school and linked to the school improvement plan, and the process needs to be shared with all the school's stakeholders, for example governors and support staff. The purpose of collecting direct evidence for performance management is to create an objective view of the quality of education provided by those who work in a school. The nature of evidence in performance management is not the same as evidence in a court of law. In a court of law evidence ranges from the forensic, such as DNA matching, to the circumstantial, where everything hinges on interpretation and credibility. Evidence in school is circumstantial rather than forensic. It has to be negotiated. The process is about seeking out evidence that is:

- valid – linked clearly to the focus of the individual teacher's targets
- diagnostic – focuses on what is done well and areas for improvement
- objective – factual and fair, untainted by personal preferences and in line with a school's agreed policies

- accurate – negotiated and checked against individual perceptions of agreed criteria
- developmental – gives information for further professional development and coaching
- formative – concerned with development and growth rather than summative judgements.

## **PROTOCOLS AND RESPONSIBILITIES**

The preparation for collecting evidence, particularly in classroom observation, needs to be done meticulously and should be in line with the school's protocols. These should be clearly stated, outlining the parameters, frequency and responsibilities, and should be linked to the school's aims or mission and improvement plan. Prior to collecting the evidence it is important to ensure that all those involved understand the process and that sufficient time is allocated to all those concerned to ensure that the process, particularly preparation and feedback, is not rushed or devalued. Lesson observations without relevant information about the learning objectives or without a clear focus are of no use to performance management. If evidence is being sought about a teacher within the leadership team, observing specific aspects of their role in, for example, meetings, the observations need to be set up with the agreement of the rest of the team and issues about confidentiality are dealt with. Teachers need to feel secure in knowing the observer is well prepared, that the observation is in context and that there is an understanding of confidentiality. In setting up the observation, the observer needs to:

- negotiate which lesson/meeting will be observed
- negotiate what the focus of the observation will be, particularly in the context of the individual teacher's targets
- put the lesson in the context of the scheme of work and long- and medium-term planning
- ensure that the pupils are told what is going to happen well ahead of time, or that the rest of the members of the leadership team have been informed
- see the lesson plan and understand the learning objectives of the lesson or the agenda for the meeting
- agree a time, as soon as possible after the observation, for feedback.

When going in to observe a lesson or meeting there are a range of protocols about the behaviour of an observer:

- It is important to be as unobtrusive as possible
- It is not the role of the observer to take over the class if there are difficulties and to suspend the 'I wouldn't do it like that' frame of mind
- It is about collegiality, support and objective observation
- It is not about superiority but about professional development
- It certainly is not about passing or failing – but about strengths and areas that can be developed.

The observer should be on time for the lesson. This is not always easy in a very busy school day, but letting colleagues know the timetable for observations may alleviate any disruption prior to the lesson. The class or meeting should not be interrupted during the observation (although dire emergencies may intrude). The observer should try and be as unthreatening as possible – smiling is allowed, as is non-disruptive positive interaction with the pupils. Unless there is a grave health and safety issue, when any adult would be expected to intervene, it is not your lesson or meeting, therefore do not give in to the temptation to 'take over' at any cost. It will undermine the teacher's authority, damage the observation, the evidence will be subjective rather than objective and relationships will be spoilt. It is important to thank the teacher after the lesson, not only as a general courtesy, but for the opportunity to observe a fellow professional at work.

## **AGREEING THE FOCUS**

It is important to agree the focus of the observation at a pre-observation meeting. This needs to include discussion on:

- agreeing a time and place for the observation
- reviewing the targets previously set and progress towards achieving them – it may be that there are a variety of reasons why or why not these have been met
- any school priorities that need to be included in individual review and planning

- negotiating and agreeing the pre-observation information, for example the lesson plan, long- and medium-term planning for context
- agreeing a time and place for the feedback and ensuring that the mechanics for this are in place, for example teacher cover and uninterrupted time.

It is useful to have a pro forma to ensure all areas are covered and that there is a written record of what has been agreed. An example is shown in Fig. 6.1.

Teacher to be observed:	Observer:
<b>Date of pre-observation meeting:</b>  <b>Venue:</b>  Resources – time and room available	   Checked and booked
<b>Time and date of observation:</b>  Resources – time and room available	  Checked and booked
<b>Previous targets discussed and listed here:</b>	Individual targets made available
<b>School priorities discussed and listed here:</b>	From SIP
<b>The focus of observation:</b>  1  2  3  4	Agreed:  Yes/No  Yes/No  Yes/No  Yes/No
<b>Pre-observation information:</b>  Lesson plan and time when to be given to observer  Long- and medium-term planning	Agreed:  Yes/No  Yes/No
<b>Feedback:</b>  Time and date agreed  Venue	  Yes/No  Booked

**Fig. 6.1 Possible pro forma for meeting prior to lesson/meetings observations**

The areas for focus do not have to follow those used by Ofsted for teaching and learning, attainment and attitudes and behaviour. Depending on the school's improvement plan and priorities, as well as individual teacher targets, the focus of the observation may be one or more of the following:

- the attainment of specific groups of pupils, for example girls or boys, special educational needs pupils, integrated pupils, the gifted and talented pupils or pupils with English as an additional language
- teaching and its impact on pupils' learning
- the relationships within the classroom, including peer relationships
- the preferred learning styles of a specific group
- specialist subject content
- use of support staff and resources.

The observation may confirm good practice which can be used to help other teachers or newly trained teachers to develop their classroom skills.

Depending on the focus, the recording of the evidence may be done in a variety of ways, such as:

- checklist – using a pre-printed form and ticking off things as they occur
- numerical record – how many times understanding is checked for example
- commentary – writing everything observed under specific headings.

The example shown in Fig. 6.2 can be adapted to suit specific needs.

Whichever way is chosen, it is necessary to make judgements. For example, rather than 'the learning objectives were read out', it would be better to record 'lessons objectives were clearly communicated to the pupils and the teacher used focused questions to check their understanding'. A good way of thinking about the records made is to ask the question 'so what?' Does the action have an impact; if so, what is that impact, and how does it, for example, extend pupils' learning, understanding or knowledge? Merely writing a commentary with no judgements will not enable the observer to acknowledge skills and strengths or identify areas for development.



<b>Teacher:</b>  <b>Observer:</b>	<b>Class:</b>  <b>Number present/number on register:</b>  <b>Date and time:</b>
<b>Topic:</b>	
<b>Agreed focus criteria:</b>  1  2  3	
<b>Introduction to the lesson:</b>  Comments	
<b>Appropriateness of teaching strategies and activities:</b>  Comments	
<b>Quality of learning:</b>  Comments	
<b>Classroom management and behaviour:</b>  Comments	
<b>General comments by observer and teacher:</b>	
<b>Signature of teacher:</b>	<b>Signature of observer:</b>

Fig. 6.2 Lesson observation

The following are examples of statements that could be made on an observation form.

*Learning – the pupils:*

- *acquire new skills and apply their previously learned skills*
- *show an interest in their work and apply effort*
- *are able to revisit and demonstrate retention of their knowledge and skills*
- *respond at an appropriate level when presented with a task or verbal request*
- *are able to explain what they are doing, and understand what and how well they have done and how they can continue to improve.*

*Teaching – the teacher:*

- *has clear, shared learning objectives (not aims, but what they want the pupils to learn)*
- *has high expectations for learning and behaviour*
- *shows a good understanding of the abilities of the pupils and expects the best from them*
- *uses the most suitable methods for the learning objectives they are teaching*
- *gives a suitable time for the task to be achieved*
- *matches the activities planned with the needs of the pupils and the learning objectives planned*
- *uses a variety of methods and resources, depending on the content and context to ensure that pupils understand and learn*
- *ensures that the classroom or environment being used is organised for the activity and to facilitate learning.*

These are elaborated from the Ofsted inspection handbook (1999) and there are further examples in Chapter 5 of this manual.

The criteria agreed at the pre-observation meeting will indicate the type of recording to be used. The type of recording should also be discussed prior to the lesson or meeting observation. During the observation, keep a copy of the targets, both school and individual, in mind or take in the pre-observation meeting checklist as a prompt.

## GIVING FEEDBACK

A crucial component of performance management is the giving and receiving of feedback. It should:

- happen as soon as possible after the observation has taken place but with enough time for the observer to reflect on the lesson or meeting
- be at an appropriate time and in an appropriate place – not just a rushed conversation in the corridor
- be valued as an important part of the process by the school
- be a professional, developmental session, not about blame but about moving forward
- address the agreed foci of the observation
- be recorded and the records agreed
- be the basis for setting effective targets.

This is the time when the person being observed will be most vulnerable. The majority of teachers easily focus on what they perceive as their weaknesses rather than their strengths. If possible, the feedback session should be objective, with clear statements being made supported by evidence, and a time of celebrating successes.

Below are some suggestions for the order of the feedback meeting to ensure the effectiveness of the feedback given:

- a clear introduction to what will happen during the meeting
- an opportunity for the teacher to talk about what they thought went well
- opportunities for the observer to add to this and describe the aspects they thought went well or were particularly effective
- discussion of areas where the teacher may have done things differently – which may well come from the teacher rather than from the observer
- discussion of the specific focus of the observation, for example, the extension work available for more able learners
- summary of the findings of the observation

- setting targets linked to the observation and whole-school issues for the teacher's professional development portfolio
- noting the resources, such as time, courses and coaching needed to enable the teacher to achieve their targets
- setting a date for the written feedback to be given to the teacher and for a review of the targets.



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# Workshop materials

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Workshop 6.1**GENERATING VALID EVIDENCE**

Using the criteria on pp. 63–6 what would you consider to be:

- (a) valid evidence, and
- (b) an appropriate means of observing and recording it

for each of the following situations?

1	A music lesson based on performance
	(a)
	(b)
2	The Literacy Hour
	(a)
	(b)
3	A technology lesson involving small group activity
	(a)
	(b)
4	A Year 11 GCSE science lesson
	(a)
	(b)
5	A drama lesson
	(a)
	(b)
6	A sports lesson
	(a)
	(b)
7	A citizenship lesson with a mixed-ability Year 9 tutor group
	(a)
	(b)

(Substitute examples as necessary.)



## Workshop 6.2

# AGREEING THE FOCUS

Work with a partner to develop a focus for your review. You will need to draw on:

- your job description
- the school development or improvement plan
- your teaching and leadership responsibilities.

Use the questions below to review the process.

1 What are the key factors in selecting a focus?

2 What information is essential for effective agreement of a focus?

3 What is the role of the observer in selecting a focus?

4 Reflecting on your joint experiences, what key principles should inform agreeing a focus?

### Workshop 6.3

## PLANNING THE OBSERVATION

Working in pairs, take it in turns to nominate an actual lesson and then work through the criteria on pp. 63–6 to plan an observation. Use the questions below to review the process.

1 What are the key factors in selecting a lesson?

2 What information is essential to support an effective observation?

3 How would you expect the observer to collect evidence in your chosen session?

4 What are the implications for the observer of the particular group of pupils you have chosen?

Reflect on your joint experiences. What key principles do you feel should inform the observation process?

Workshop 6.4

**DEVELOPING CRITERIA AND EVIDENCE FOR  
CLASSROOM OBSERVATION**

On the basis of the focus you agreed for Workshop 6.3, consider what criteria are appropriate to your focus and what would be acceptable evidence to review those criteria.

Criteria	Evidence

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# Review and target setting

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## INTRODUCTION

This aspect of performance management is often called the appraisal process. However, appraisal has become such a loaded term that many schools avoid using it, preferring their own label, for example:

- professional review and development
- developmental interviews
- personal review.

In some schools the whole process has been subsumed into the generic label of coaching. The actual label does not really matter, what is important is that the school is comfortable with the name it has chosen and it is used consistently. There are a number of crucial stages to the process, irrespective of its label:

- preparation
- clarification
- negotiation
- confirmation.

These stages will form the main content of this chapter, but it is important at the outset to clarify the purposes and principles underpinning the review and target-setting process.

## THE NATURE OF EFFECTIVE APPRAISAL

It is easy to forget that for some teachers in some schools appraisal, however it is described, is a challenging, demanding and worrying process. This will often be nothing to do with the teacher's professional ability but simply because this has not been a part of the professional culture in many schools. Another issue is the lack of

clarity as to the nature and purpose of the appraisal process – for some it is formative and developmental, for others it is summative and linked to rewards and sanctions. It is therefore vital to clarify the precise nature of the process and to specify the outcomes sought. Summative reviews related to pay and the threshold need to be clearly differentiated from the developmental process. Effective performance management will, in fact, make it much easier for teachers to prepare for the threshold, as it will create a culture of systematic evidence-based review.

As part of an effective performance management policy there should be a clear statement about the purposes and principles of the appraisal or review process.

### **The purposes of appraisal**

- To create a high-performance school
- To enhance individual performance and motivation
- To facilitate personal accountability
- To support professional learning and development
- To integrate personal and organisational targets and development strategies
- To enhance personal and professional relationships.

In order to achieve these complex and demanding purposes the appraisal process has to be based on a number of fundamental principles.

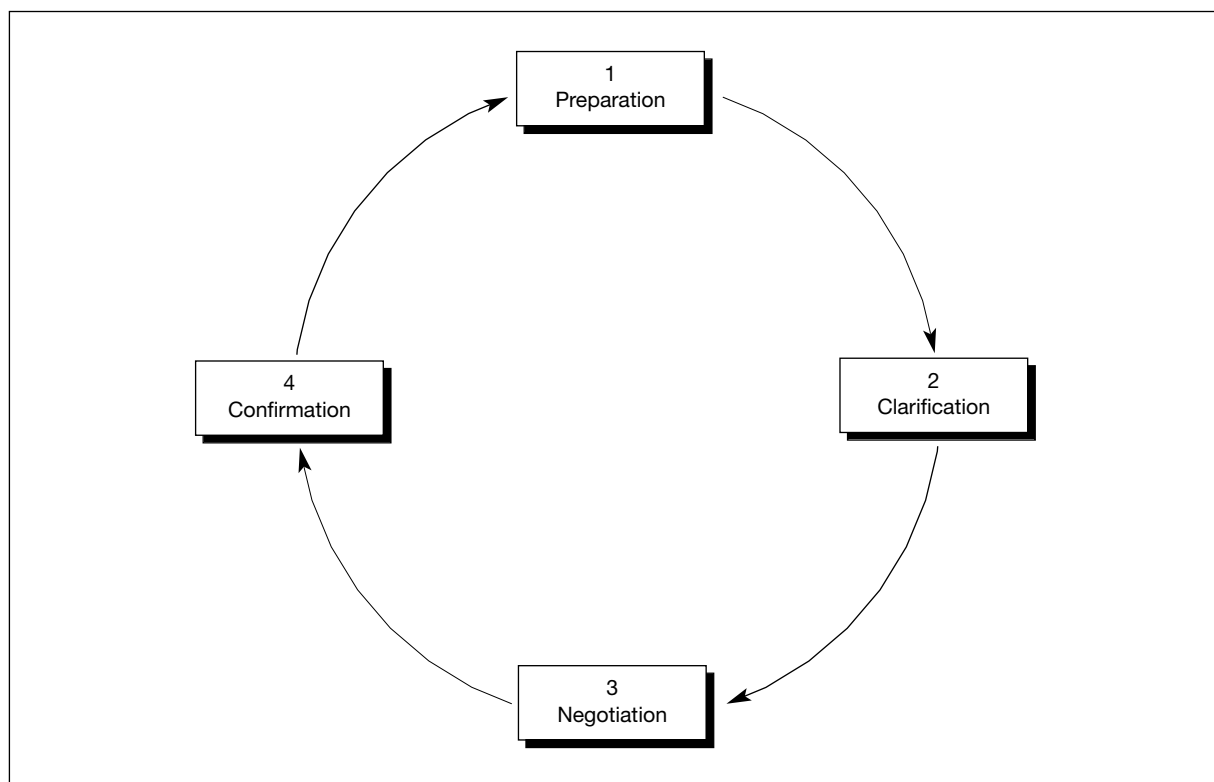
### **The principles of appraisal**

- Mutual respect and professional regard
- A negotiated, problem-solving approach
- Trust based on confidentiality
- Sustained support and personal engagement
- A formative and developmental process.

The purposes and principles of appraisal are challenging and demanding but in fact they are the basis of effective professional relationships and true collegiality; they summarise many of the principles of effective leadership and they encapsulate the

practice of the school as a learning community. While they are entirely appropriate to any discussion of the appraisal process they also lay the foundations of sustainable high performance and, perhaps most importantly, a school that embodies and models the notion of a moral community – growing, learning and improving.

Such lofty aspirations have to be translated into very specific processes and strategies but it is essential not to lose sight of the underlying purposes and principles. The appraisal process can be reduced to a very simple diagram, which is itself a model of effective negotiation and problem solving (see Fig. 7.1).



**Fig. 7.1 The appraisal process: review and target setting**

The background to the preparation stage has been described in detail in Chapters 4, 5 and 6. It centres on job clarification, agreeing criteria for effective performance in the job and collecting evidence on the level of performance being achieved. The clarification stage is the discussion of perceptions in response to the evidence. Negotiation centres on the agreement of targets growing out of the review and confirmation is the agreement and consolidation of the whole process. Each of these elements will now be considered in depth.

## **PREPARATION**

As with any learning activity, systematic and careful planning and preparation are essential. There is a joint responsibility of both parties (appraiser and appraisee, coach and client) to invest in the process to ensure that maximum benefit is secured for both.

The appraiser's responsibilities at this stage are to:

- ensure that all relevant documentation is up-to-date and available:
  - job description
  - lesson observation documents
  - relevant school documentation
- ensure that they are familiar with all school plans and policies
- develop a tentative agenda of matters to be discussed
- arrange an appropriate time and venue.

At the very least these factors are a professional courtesy.

The appraisee's responsibilities at this stage are to:

- reflect on strengths and successes
- reflect on the accuracy and appropriateness of the job description
- reflect on the outcomes of the lesson observation
- gather evidence relevant to the agreed focus of the process
- prepare a tentative agenda for the review meeting
- consider possible targets.

The success of the review and target-setting process will be directly proportionate to the investment in reflection and planning undertaken in advance. It is also worth stressing that the time and place of the review discussion can have a disproportionate impact on the process and the outcome. A corner of a classroom at the end of a long and demanding day is not appropriate and it does not reflect the value or integrity of the process. Again it is a matter of professional courtesy. The meeting should take place:

- at an appropriate time of day
- in a comfortable and private room
- without interruptions or distractions
- with appropriate seating, lighting and refreshments.

## **CLARIFICATION**

The purpose of this stage of the process is to reach agreement on the appraisee's performance. It is therefore central to the success of the next stage, target setting. This stage is all about negotiating perceptions and reaching an agreed and shared understanding of the appraisee's level of performance. It is therefore a complex and sensitive process – especially if there is not an early consensus. The crucial components of this stage are:

- welcome and agreement of the purpose of the meeting
- agreeing the agenda for the meeting
- review of the job description
- discussion of the findings from the lesson observations and other evidence
- formulation of conclusions about the individual performance
- discussion of school and team priorities
- identification of areas for action.

To avoid descending into anecdote, blaming the world and avoidance of real issues, the approach in this session must be:

- focused on the agreed agenda
- objective and evidence-based
- clarifying through questioning
- summarising and consensus building.

Active listening is essential, as is the ability to give regular feedback to check and confirm understanding. At the end of this stage it should be possible to identify three to five key themes that will form the basis of target-setting. These themes should not be seen as solely concerned with turning poor performance into acceptable performance – they might also be concerned with:



- sustaining existing good practice
- developing new knowledge, skills and capability
- moving into a new role
- personal development activities, for example National Professional Qualification for Headship (NPQH).

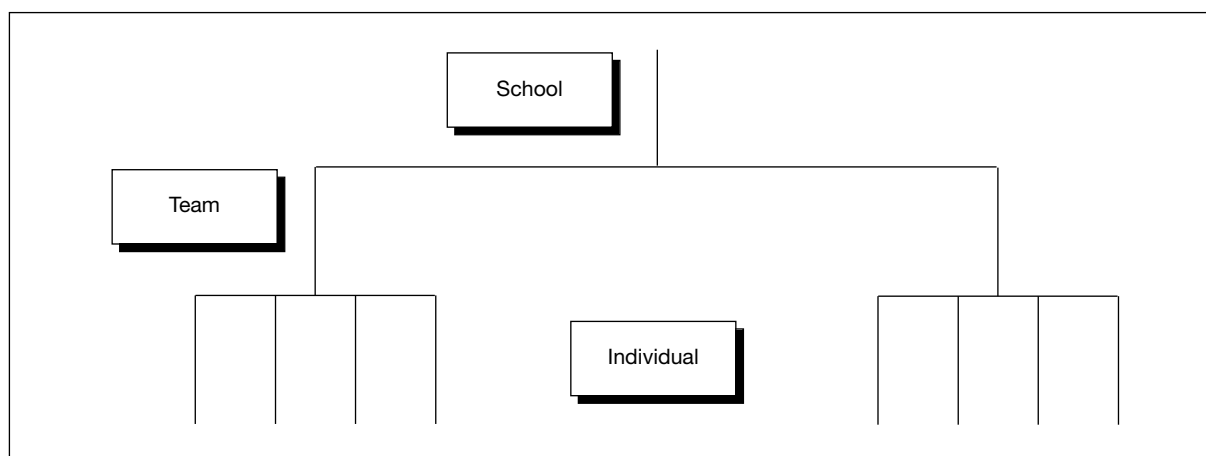
## NEGOTIATION

This is the pivotal activity in the whole of performance management; it is when the review of an individual's past performance is translated into targets to inform future performance. As with every aspect of this process the terminology can be a problem; some object to targets as being too reductionist and militaristic. Government guidelines refer to 'professional development objectives'; again it is a matter of agreed usage in the school. The label matters less than the characteristics. Bradbury (2001, p. 54) argues that targets need to be SPECIAL, i.e.

	<i>Specific</i>
	<i>Personal</i>
	<i>Energising</i>
	<i>Challenging</i>
	<i>Integrative</i>
<i>(in)</i>	<i>Alignment</i>
<i>(based on)</i>	<i>Learning.</i>

They need to be **specific** in that they describe particular outcomes in a given timeframe. They must be **personal** if they are to be meaningful – they must grow out of individual needs and relate to personal development strategies. Good targets are **energising** – they stimulate and motivate and provide a focus for personal energy and interest. Targets need to be appropriately **challenging** – learning and growth are most powerful in response to realistic challenges. Targets should be **integrative** in that they link the individual to the organisation, and in that sense they should be in **alignment** with the school's values and core purpose. Finally, targets should be developmental – they will only have value if they are focused on the **learning** of the individual.

Personal targets have to be seen as fitting into a hierarchy, as shown in Fig. 7.2.



**Fig. 7.2 School, team and individual targets**

An individual's targets should reflect personal developmental needs within the context of school and team needs – hence they should be integrative and in alignment. It is the appraiser's responsibility to achieve the appropriate balance between organisational and individual needs.

Examples of appropriate targets (partly adapted from Brereton (2001, p. 42) are as follows:

***Reception class teacher***

*Pupils will show significant improvement in social skills and will develop a sense of personal responsibility as demonstrated in the Early Learning Goals.*

***Key Stage 2 co-ordinator***

*Complete NPQH in the academic year 2003/2004 and take responsibility in the school leadership team for the school improvement plan.*

***Key Stage 3 teacher***

*Attend LEA 'ICT and Modern Foreign Languages' course and produce and implement a strategy for extending language learning using the Internet.*

***Secondary deputy head***

*Lead a working party on the development of a learning policy for the school, secure approval of the governing body and develop a school-based CPD strategy to support implementation.*

Depending on personal circumstances a teacher should have between three and six targets. Where appropriate, targets should inform the planning of the school's CPD strategy (see Chapter 8). Some targets will have resource implications and the level of available resourcing should be made clear to appraisers before targets are finally agreed.

Good targets create high personal investment and motivation – once agreed they should not be compromised. It is also worth emphasising at this stage that the appraiser's responsibility for the targets does not end once they have been agreed. They may well require support and, significantly, their successful completion requires celebration.

## **CONFIRMATION**

The final stage of the review and target-setting process should include the following elements:

- confirmation that the appraisee is comfortable with the process
- clarification and confirmation of the targets
- agreement of future support
- review of the process
- thanks.

The review of the process might include the following questions:

- Were you comfortable/satisfied with each stage of this process?
- Is there anything I could have done to improve the process?
- What can we do better next time?
- What aspects of the process were positive/negative for you?
- Are there any aspects of your work that we have not done justice to?

Finally, the process should be written up according to the school's agreed procedures (see Fig. 7.3).

<b>Name:</b>	
<b>Current role:</b>	
<b>Reviewer:</b>	
<b>Date of review:</b>	
<b>Agreed focus for the review:</b>	
<b>Observation:</b>	
Agreed focus:	
Teaching group:	
Date:	
Lesson/time:	
<b>Agreed outcomes:</b>	<b>Agreed targets:</b>
●	●
●	●
●	●
●	●

Fig. 7.3 Record of the teacher review process

The agreed procedures will need to cover such issues as:

- Who will write up the review?
- Who will have access to the documentation?
- How long will the documentation be kept on file?
- For what purposes can the documentation be used?
- Who owns the documentation?

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### Workshop 7.1

## THE PURPOSES OF APPRAISAL

Working in groups, consider the purposes of appraisal listed below. For use in your school:

(a) Should the language of these be changed?

#### **The purposes of appraisal**

- To create a high-performance school
- To enhance individual performance and motivation
- To facilitate personal accountability
- To support professional learning and development
- To integrate personal and organisational targets and development strategies
- To enhance personal and professional relationships.



## Workshop 7.2

# THE PRINCIPLES OF APPRAISAL

Working in groups, review the principles that should apply to the management of appraisal in your school. Modify the list below so that it reflects your school's values and working principles.

### **The principles of appraisal**

- Mutual respect and professional regard
- A negotiated, problem-solving approach
- Trust based on confidentiality
- Sustained support and personal engagement
- A formative and developmental process.

## Workshop 7.3

## MAKING THE APPRAISAL PROCESS WORK

For each of the groups in the boxes, consider what they must do to make the appraisal process work and what they must not do to inhibit or compromise it.

<b>Governing body</b>  Must:          Must not:	<b>School leadership</b>  Must:          Must not:
<b>Appraisers</b>  Must:          Must not:	<b>Appraisees</b>  Must:          Must not:

### Workshop 7.4

## REFLECTION AND SELF-REVIEW (1)

Use the following grid to help to structure your preparation for the review and target-setting process.

<b>What are my strengths and successes?</b>	<b>How accurate is my job description?</b>
<b>What are my personal development needs?</b>	<b>What does the school require of me?</b>

### Workshop 7.5

## REFLECTION AND SELF-REVIEW (2) – LEARNING AND TEACHING

Use the following questions to support your own reflection and self-review prior to the appraisal process.

- 1 How much learning is going on in my classroom? How do I know?
- 2 How well do I understand the individual learning styles in my class(es)?
- 3 On what basis do I select my teaching strategies? How many strategies do I use?
- 4 How do I review my use of teaching and learning strategies?
- 5 How effective is my lesson planning?
- 6 How effective is my use of:
  - strategies to engage all pupils
  - questioning
  - a range of learning activities
  - recognition, reinforcement and feedback?
- 7 Are my lessons inclusive?
- 8 How confident am I in my subject knowledge?
- 9 Is my classroom a learning environment?
- 10 Are my assessment strategies consistent, fair, formative and reliable?
- 11 Do all my pupils have the opportunity to succeed?
- 12 Do I enjoy teaching? Do my pupils enjoy learning with me?

### Workshop 7.6

## **REFLECTION AND SELF-REVIEW (3) – LEADERSHIP AND MANAGEMENT**

Use the following questions to support your own reflection and self-review prior to the appraisal process.

- 1 How confident am I in distinguishing my leadership and management roles?
- 2 How effective is my leadership? How do I know?
- 3 How effective is my management? How do I know?
- 4 How good am I at prioritising my leadership and management responsibilities?
- 5 How effective is my team? How do I know?
- 6 How skilful am I in choosing appropriate leadership styles?
- 7 How good am I at dealing with the urgent and important?
- 8 Is my vision 'known, shared, understood and acted on'?
- 9 How good am I at developing my team?
- 10 Am I leading and managing for sustainable high performance?

### Workshop 7.7

## WRITING TARGETS

Working in small groups, consider each of the following targets and review the extent to which they are SPECIAL. Rewrite them so they are meaningful in your context.

#### **Examples of appropriate targets**

(partly adapted from Brereton (2001, p. 42))

##### *Reception class teacher:*

Pupils will show significant improvement in social skills and will develop a sense of personal responsibility as demonstrated in the Early Learning Goals

##### *Key Stage 2 co-ordinator:*

Complete NPQH in the academic year 2003/2004 and take responsibility in the school leadership team for the school improvement plan

##### *Key Stage 3 teacher:*

Attend LEA 'ICT and Modern Foreign Languages' course and produce and implement a strategy for extending language learning using the Internet

##### *Secondary deputy head:*

Lead a working party on the development of a learning policy for the school, secure approval of the governing body and develop a school-based CPD strategy to support implementation.



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# Performance and continuing professional development

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## INTRODUCTION

Although the review and target-setting process in the form of appraisal often dominate the debate about performance management, in fact they are the diagnostic phase of a process that should be centred on professional development. The high-performance school and individual high performance are a product of effective professional development. Improving performance is about changing behaviour, and changes in behaviour are the result of learning. Therefore, high performance has to be seen primarily as a product of effective learning. Although other factors such as resources and motivation play a significant part, it is the development of individual, team and organisational capability that has the greatest impact.

In order to have the maximum impact on performance, continuing professional development (CPD) needs to meet a number of criteria:

- There must be a clear model of professional learning
- Learning activities should be appropriate to the desired outcome
- Professional development activities should focus on the job
- The focus should be on long-term, sustainable personal and professional growth.

There is one overarching criterion that informs all the others: CPD activities must be seen as personally significant and relevant. If the review and target-setting process has been effective then the outcomes will be personal, valid and important and therefore most likely to secure engagement and commitment.

## PROFESSIONAL LEARNING

Only in recent years has the teaching profession really begun to develop an understanding of learning that will transform practice. Although there was a great deal



of confidence about content (curriculum) and delivery (teaching), there was less confidence about how much actual learning took place. One reason for this was the lack of any meaningful definitions of the nature of learning. Figure 8.1 offers a model to inform thinking about learning for high performance.

Shallow	Deep	Profound
Information	Knowledge	Wisdom
Replication	Understanding	Meaning
Experience	Reflection	Intuition
Extrinsic	Intrinsic	Moral
Dependence	Independence	Interdependence

**Fig. 8.1 Modes of learning**

Adapted from West-Burnham (2003)

**Shallow learning** is very common in everyday life; it is characterised by the ability to memorise information and to replicate it – often in examinations and tests. Shallow learning is about unmediated experience; it is usually extrinsically motivated and it results in the learner being in a dependent state. Shallow learning has little impact and is easily lost.

**Deep learning** by contrast is the conversion of information into knowledge through understanding. Public information becomes personal knowledge; experience is subject to reflection and so is capable of being understood. The motivation for deep learning is intrinsic and it leads to the autonomous learner.

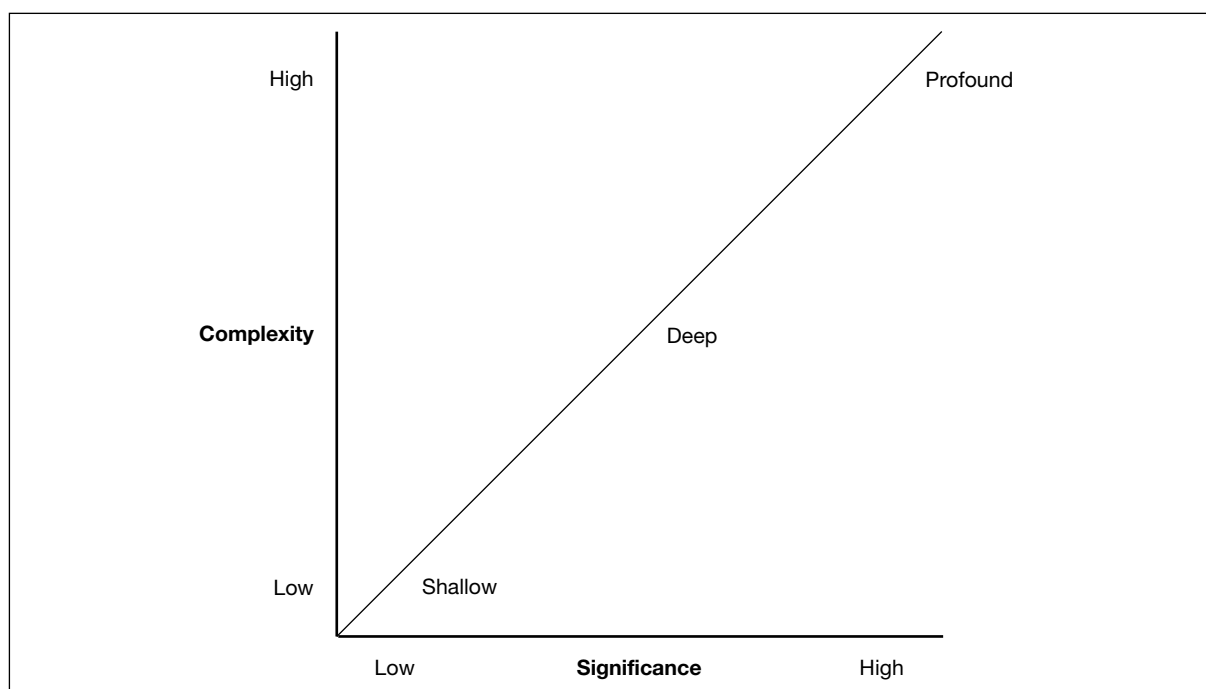
**Profound learning** creates wisdom and allows for the emergence of personal meaning; behaviour is intuitive. The motivation to learn is moral and such learning leads to interdependence with other learners. Profound learning is artistry – whether in driving a car, playing a musical instrument, teaching a class or counselling a colleague.

Speaking a foreign language is a good illustration of the difference between the modes: shallow learning gives the basic vocabulary and rules of grammar; deep learning gives one the confidence to hold spontaneous conversations; profound learning allows engagement with the literature and higher-order thinking. Of the two of us writing this manual one has shallow learning with regard to ICT, the other has deep learning. The difference is manifest in confidence, the range of skills, the ability to troubleshoot

problems etc. Most aspects of professional development that are going to lead to significant change require deep and profound learning.

Workshop 8.1 explores this topic in greater detail.

In essence, the more complex and significant a topic is, the greater the need to move towards deep and profound learning. This is demonstrated in Fig. 8.2.



**Fig. 8.2 Complexity, significance and modes of learning**

The greater the complexity and significance of a topic, the greater is the need to create opportunities for deep and profound learning. This is not to diminish shallow learning – it has a place, but in the context of sustainable high performance it is only in terms of foundation information. Shallow learning does not lead to change and so has only limited impact on understanding and so behaviour.

Use Workshop 8.2 to reflect on the model of learning that should be used in professional development in your school.

## DEVELOPING APPROPRIATE LEARNING ACTIVITIES

If deep and profound learning are to become the norm in performance development activities then there has to be a focus on activities that support the development of understanding and so help to create knowledge. A well-known but nevertheless powerful model that explains the relationship between learning activities and creating understanding is that of Joyce and Showers (in West-Burnham and O'Sullivan, 1998 p. 51), shown in Fig. 8.3.

Training components and combination	Impact on job performance		
	Knowledge	Skill	Transfer
Theory	Low	Low	Nil
Theory and demonstration	Medium	Medium	Nil
Theory, demonstration and practice	High	Medium	Nil
Theory, demonstration, practice and feedback	High	Medium	Low
Theory, demonstration, practice, feedback and coaching	High	High	High

**Fig. 8.3 Training components and impact on performance**

What is powerfully demonstrated in this model is that the creation of knowledge, the development of skills to inform practice and, crucially, the ability to transfer training into actual practice only occur when the five elements are in place. Use of a limited range of the components will inhibit the potential impact of the training. It is important at this stage to define each of the five components:

- **Theory:** the presentation of the underlying principles and ideas, for example a lecture or presentation or what you doing now – reading a text
- **Demonstration:** the opportunity to make sense of the theory – discussion, clarification relating to personal experience, working with others to create shared understanding
- **Practice:** taking the modified and adapted abstract theory and applying it in practice
- **Feedback:** obtaining information on the extent to which practice is effective and reflects the original intentions
- **Coaching:** systematic and personal support to improve performance against agreed standards. (See Chapter 9 for a full discussion on coaching.)

Deep and profound learning require all five elements to be in place. The issue, therefore, is to identify performance development activities that include the possibility of engaging with the maximum number of variables.

There are a vast number of activities that are included in the portfolio of professional development. A general classification would include:

- lectures, keynotes and presentations
- conferences (for example LEA events, national conferences)
- workshops and seminars
- school-based action research
- school-based improvement projects
- award-bearing programmes
- long-term development programmes (for example NPQH)
- reading
- keeping a reflective journal
- distance learning, including e-learning
- experiential learning, learning in practice, apprenticeship
- observation and shadowing
- coaching and mentoring
- critical friendship, a community of practice.

This list is not exhaustive and there will be alternative names for the activities.

Workshop 8.3 gives you the opportunity to reflect on the validity and appropriateness of these activities.

A school that has developed a culture of high performance based on building staff capacity and engagement will take every opportunity to reinforce opportunities for shared learning:

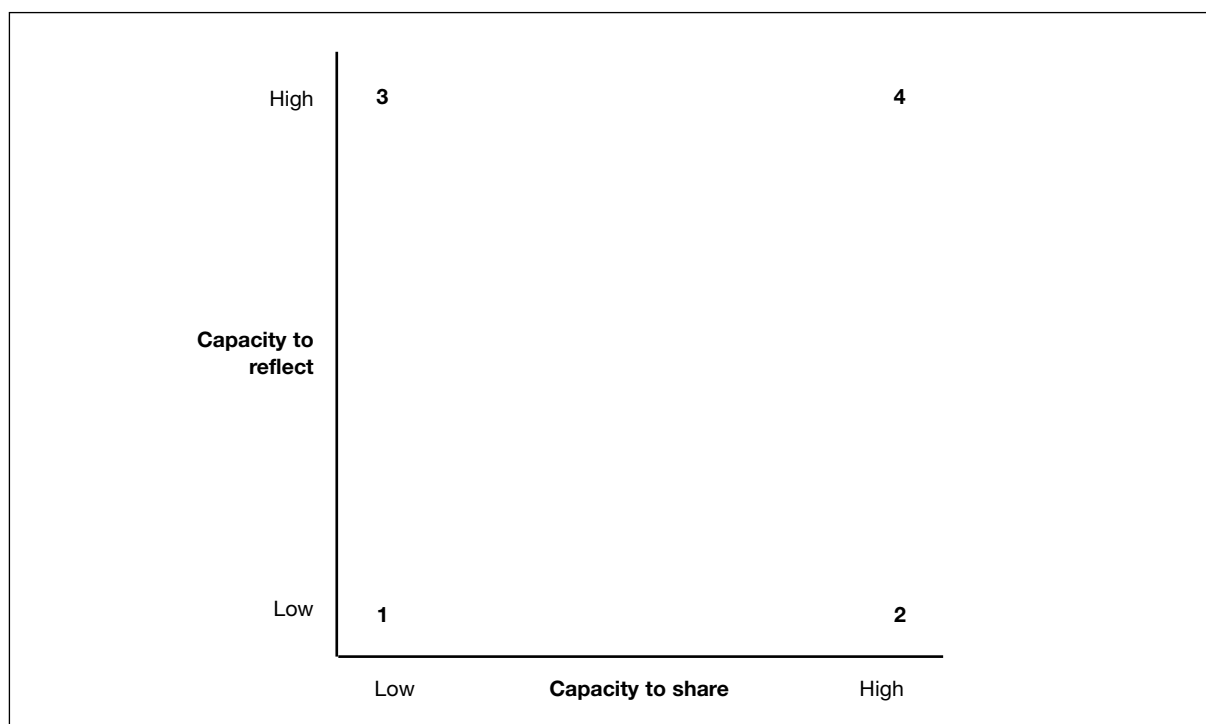
- Some 'traditional' meetings are abandoned and replaced by voluntary groups working on topics such as learning, inclusion, boys' achievement, the school as a learning environment
- One briefing session each week is handed over to a teacher to talk about a successful lesson or strategy
- Teachers are encouraged to propose and lead development projects
- Articles from the educational press are circulated for discussion in team meetings
- Staff on external courses are encouraged to share their experiences and involve other staff in their studies
- Staff achievements are recognised in assemblies.

## **CONTINUING PROFESSIONAL DEVELOPMENT AND SUSTAINABLE PERFORMANCE**

At the heart of the high-performance school is high performance in learning and teaching – everything else is essentially supportive. On the basis of what has been written so far in this chapter and your responses to Workshops 8.1, 8.2 and 8.3, it might be possible to draw tentative conclusions about the principles that should inform continuing professional development for high performance:

- As far as possible activities should be bespoke, à la carte rather than table d'hôte, i.e. based on a diagnosis of individual needs
- Activities should be based on the job itself, i.e. improving the capability to meet performance criteria
- Abstract theory must be integrated so that it is understood and becomes knowledge that can be applied
- Professional learning is most likely to be effective when it uses a team-based problem-solving approach
- Long-term coaching is essential to sustainable improvement of performance.

Use Workshop 8.4 to apply these criteria to CPD in your school.
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**Fig. 8.4 Teachers' capacity to learn**

Your analysis of Workshop 8.4 will probably have pointed out that professional development activities are most likely to have impact and to be sustainable if they are (a) personal and (b) supported. This is reinforced by the model shown in Fig. 8.4 from West-Burnham and O'Sullivan (1998, p. 94), in which:

- 1 = the isolated teacher – limited capacity to reflect, limited capacity to share, therefore limited capacity to learn
- 2 = the dependant teacher – a high capacity to share but limited capacity to reflect, therefore a shallow learner
- 3 = the sole practitioner – capable of reflection but isolated; unable or unwilling to share so their learning will always be inhibited
- 4 = the learning teacher – models effective learning through high-quality reflection and genuine interdependence: the most likely to move into deep and profound learning.

Barth (1990, p. 54) characterises learning teachers in the following terms:

*They are able and willing to critically scrutinise their practice and are quite able and willing, even desirous, of making their practice accessible to other adults ... They seek us out, tend to be the most able, and make us feel the most comfortable and successful, although they probably need us the least.*

These teachers are the profound learners and they are the most precious resource a school has; they are genuinely reflective practitioners, instinctive coaches and open and interdependent in their learning. The chances are that the high-performing school has a significant number of teachers and leaders in this category. The core purpose of a CPD strategy must be to sustain them and develop the capacity in others to become like them.

## **DEVELOPING A CONTINUING PROFESSIONAL DEVELOPMENT POLICY FOR HIGH PERFORMANCE**

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The principles set out in this chapter clearly establish professional learning and development as the basis of sustained high performance. Even more importantly perhaps, the chapter offers a model of learning that is applicable for the whole school and the classroom. Effective teachers and leaders are learners; in their own learning they model the principles of deep and profound learning. In summarising the key principles of this chapter it is also possible to identify the central propositions of a CPD policy based on learning for high performance:

- Professional development activities should be based on needs analysis and focus on the work-related needs of the individual
- There should be a model of professional learning that emphasises the importance of deep and profound approaches
- CPD activities should be designed to support the development of personal understanding and so change behaviour
- Professional learning has to be supported through personal and shared reflection based on challenge, problem solving and team-based collaboration
- Deep and profound learning has to be supported through coaching
- Professional learning has to be scrutinised through regular review, both personal and as part of the appraisal process.

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## Workshop materials

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### Workshop 8.1

## SHALLOW, DEEP AND PROFOUND LEARNING

Classify each of the following activities according to which mode of learning you consider most appropriate. Tick the appropriate box.

Activity	Shallow	Deep	Profound
Counselling a child			
Studying cognitive psychology			
Developing subject knowledge			
Using ICT for administration			
Health and safety regulations			
New models of assessment			
Preparation for headship			
Raising boys' achievement			
Developing reflective practice			
Performance management regulations			

What do the activities you have classified 'shallow' have in common?

What do the activities you have classified 'deep' and 'profound' have in common?

## Workshop 8.2

# LEARNING AND PROFESSIONAL DEVELOPMENT

Using the concepts below (repeated from Fig. 8.1) develop a definition of professional learning that could be used in a professional development policy in your school.

Shallow	Deep	Profound
Information	Knowledge	Wisdom
Replication	Understanding	Meaning
Experience	Reflection	Intuition
Extrinsic	Intrinsic	Moral
Dependence	Independence	Interdependence

1 What are the key components that should inform CPD activities in your school?

2 What might a definition of learning for CPD look like?

3 What are the implications of your definition for practice in classrooms?

### Workshop 8.3

## CONTINUING PROFESSIONAL DEVELOPMENT ACTIVITIES AND EFFECTIVE LEARNING

Classify each of the activities listed below according to the Joyce and Showers model on p. 114:

1 = Theory

2 = Theory and demonstration

3 = Theory, demonstration and practice

4 = Theory, demonstration, practice and feedback

5 = Theory, demonstration, practice, feedback and coaching.

	1	2	3	4	5
● Lectures, keynotes and presentations					
● Conferences (for example LEA events, national conferences)					
● Workshops and seminars					
● School-based action research					
● School-based improvement projects					
● Award-bearing programmes					
● Long-term development programmes (for example NPQH)					
● Reading					
● Keeping a reflective journal					
● Distance learning, including e-learning					
● Experiential learning, learning in practice, apprenticeship					
● Observation and shadowing					
● Coaching and mentoring					
● Critical friendship, a community of practice					

### Workshop 8.4

## CONTINUING PROFESSIONAL DEVELOPMENT FOR SUSTAINABLE PERFORMANCE

Using the criteria listed below, review the potential impact of the following CPD activities:

- (a) a school-based INSET day
- (b) an LEA conference
- (c) an NQT induction programme

- |   |   |
|---|---|
| 1 | As far as possible activities should be bespoke, à la carte rather than table d'hôte, i.e. based on a diagnosis of individual needs<br>(a)<br>(b)<br>(c)<br>(d) |
| 2 | Activities should be based on the job itself, i.e. improving the capability to meet performance criteria<br>(a)<br>(b)<br>(c)<br>(d)                            |
| 3 | Abstract theory must be integrated so that it is understood and becomes knowledge that can be applied<br>(a)<br>(b)<br>(c)<br>(d)                               |
| 4 | Professional learning is most likely to be effective when it uses a team-based problem-solving approach<br>(a)<br>(b)<br>(c)<br>(d)                             |
| 5 | Long-term coaching is essential to sustainable improvement of performance<br>(a)<br>(b)<br>(c)<br>(d)   |

Workshop 8.5**TEACHERS AS LEARNERS**

For each of the four types of professional learner identified on p. 117, develop a more detailed picture of how they work by drawing on examples in your own experience.

1 = the isolated teacher – limited capacity to reflect, limited capacity to share, therefore limited capacity to learn

2 = the dependant teacher – a high capacity to share but limited capacity to reflect, therefore a shallow learner

3 = the sole practitioner – capable of reflection but isolated; unable or unwilling to share so their learning will always be inhibited

4 = the learning teacher – models effective learning through high-quality reflection and genuine interdependence: the most likely to move into deep and profound learning

### Workshop 8.6

## DEVELOPING A LEARNING-BASED CPD POLICY

Use the criteria below to (a) critique your existing policy and (b) identify the key components of any changes.

- |   |   |
|---|---|
| 1 | Professional development activities should be based on needs analysis and focus on the work-related needs of the individual<br><br>(a)<br><br>(b)                       |
| 2 | There should be a model of professional learning that emphasises the importance of deep and profound approaches<br><br>(a)<br><br>(b)                                   |
| 3 | CPD activities should be designed to support the development of personal understanding and so change behaviour<br><br>(a)<br><br>(b)                                    |
| 4 | Professional learning has to be supported through personal and shared reflection based on challenge, problem solving and team-based collaboration<br><br>(a)<br><br>(b) |
| 5 | Deep and profound learning have to be supported through coaching<br><br>(a)<br><br>(b)  |
| 6 | Professional learning has to be scrutinised through regular review<br><br>(a)<br><br>(b)  |

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# Interpersonal skills for performance management

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## INTRODUCTION

A consistent theme throughout this manual has been the importance of the one-to-one relationship in establishing and maintaining individual high performance. This relationship manifests itself in:

- leadership behaviour
- the review and target-setting process
- models of effective professional learning
- creating a learning organisation.

For most purposes this relationship is described as coaching, although the term mentoring is also widely used, as is critical friendship. Coaching will be used in this manual for reasons that will be explained in the first part of this chapter. It is difficult to find any negative commentaries on coaching in the research literature; in terms of both principle and practice it receives almost universal approval. The only negatives are in terms of cost (notably time) and the availability of expertise and experience for what is a challenging and demanding professional relationship. This chapter will focus on:

- why coaching?
- a definition of coaching
- coaching at work
- skills for effective coaching

## WHY COACHING?

Coaching is, perhaps, the most 'natural' of learning relationships. In its various guises it appears throughout history and across society as the optimum means of enhancing individual learning. Most of us develop language as small children through an



intensive one-to-one relationship; we learn to drive on the same basis. The greatest artists and musicians have usually had their innate ability developed in the same way. The concept of apprenticeship was central to most trades for centuries. In schools the Reading Recovery scheme is essentially a form of coaching and individual coaching is known to have a beneficial effect on GCSE and 'A' level performance. Our ability to produce this text and your ability to read it is largely a result of coaching.

As was shown in Chapter 8, coaching has enormous potential to secure deep and profound learning through the creation of understanding. There is also a clear link with individual performance and coaching. Sports coaching has become a highly sophisticated set of techniques, which are as concerned with self-image and personal efficacy as with the technical skills needed for success in a given event.

The impact of coaching can be demonstrated by further reference to the work of Joyce and Showers first quoted on p. 114:

*5% of learners will transfer a new skill into their practice as a result of theory.*

*10% will transfer a new skill into their practice as a result of theory and demonstration.*

*20% will transfer a new skill into their practice as a result of theory, demonstration and practice.*

*25% will transfer a new skill into their practice as a result of theory, demonstration, practice and feedback.*

*90% will transfer a new skill into their practice as a result of theory, demonstration, practice, feedback and coaching.*

Joyce and Showers (1983, p. 9)

The organisational benefits of coaching might be summarised as:

- sustainable deep and profound learning
- increased discussion on professional matters
- enhanced access to modelling of best practice
- support for reflective practice
- improving communication and reducing isolation among teachers

- enriching and supporting sophisticated social networks
- creating a community of practice
- reinforcing norms and values
- modelling best pedagogic practice
- creating a learning culture.

The personal benefits of coaching might be summarised as:

- greater confidence as a learner
- enhanced sense of personal efficacy through regular success and recognition
- richer personal and social relationships
- increasingly sophisticated professional dialogue
- enhanced meta-cognitive capability.

Workshop 9.1 explores these issues in greater depth.

## DEFINING COACHING

There are very hazy dividing lines between mentoring, coaching and counselling and all three have their advocates for being distinctive disciplines. In reality, of course, they share many characteristics, which may be best seen as options within a continuum of helping strategies. In the context of performance management, coaching is offered as the most appropriate model because of its focus on outcomes. For the purposes of this discussion, coaching is defined as follows:

*Coaching is a long-term, one-to-one professional relationship in which the coach actively supports the learner to build capacity to improve performance.*

The term 'learner' is used deliberately: mentors usually have mentees, counsellors have clients; in an educational context it seems appropriate that coaches should work with learners.

Workshop 9.2 is designed to help you work through the implications of this definition for working relationships in your school.

One of the reasons why coaching is so appropriate to performance management is that it reflects in microcosm the whole-school processes that were described in Chapter 3 (see Fig. 3.2). The process is essentially the same: review against desired standards and the development of strategies in order to maximise performance. The specific characteristics of coaching can be defined as:

- the articulation of standards, expectations and required level of performance
- feedback on actual performance based on observations, analysis and reflection
- the implementation of strategies to enhance performance, for example skill building, setting challenges, providing interaction, demonstrating techniques or removing barriers
- feedback on performance, recognition and reinforcement of success, introduction of alternative strategies if necessary
- revisiting and restatement of standards and expectations.

Workshop 9.3 links these characteristics to effective learning.

Figure 9.1 illustrates this process, although it would never be as linear as depicted.

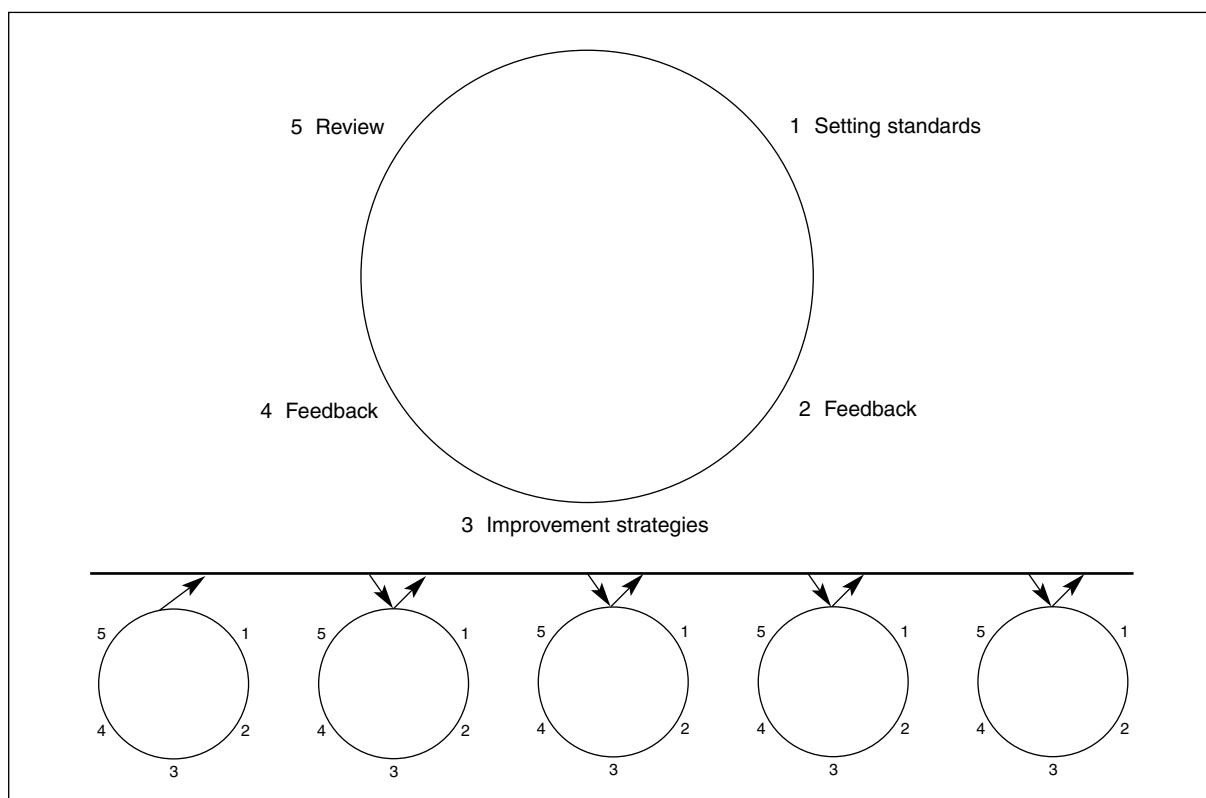


Fig. 9.1 The coaching process

Central to Fig. 9.1 is the notion of continuous growth and improvement. The diagram can be seen as progression from novice to master, from initiate to expert – most professional models work on this developmental model, from intern to consultant, from NQT to AST, from junior to silk. There are of course dangers with this model – it could be a charter for paternalism; it is hierarchical and it could diminish or deny the validity of the learner's own insights and development. To avoid this it is essential that coaches display a range of qualities:

- They possess expertise and specialised knowledge in two important respects:
  - in their subject area, for example learning and teaching, leadership
  - in supporting the learning of others.
- They make sense of their own knowledge and experience – they have sophisticated models and schemata that allow them to work intuitively, i.e. they have created personal meaning and wisdom
- Their coaching skills are similarly intuitive, they exhibit automaticity and they are unconsciously competent
- Expert coaches are highly perceptive and are skilled problem solvers – they have higher-order analytical skills, which allow them to understand a situation and generate appropriate and valid strategies
- They are highly reflective, constantly monitoring their own practice, seeking feedback on their performance as coaches and developing a repertoire of strategies to support and sustain their reflection
- Coaches are inclusive – they listen and negotiate, and they seek analysis and strategies before proposing, let alone imposing, solutions.

This is a challenging, even intimidating, list, but it has to be: it is dealing with one of the most complex and sensitive aspects of the human experience – learning in order to change. This is not just a management technique – it requires ethically based leadership. As Novak (2002, p. 20) expresses it:

- 1 People are able, valuable and responsible and should be treated accordingly.*
- 2 Educating should be a collaborative and co-operative activity.*
- 3 The process is the product in the making.*
- 4 People possess untapped potential in all areas of worthwhile endeavour.*

To sustain the integrity of the process coaches have to be coached: *quis custodiet ipsos custodes* (who will guard the guards?)! All counsellors have to be counselled, and all coaches have to develop as coaches through a coaching relationship. This is partly to sustain themselves, to continue learning and to model best practice.

## **COACHING AT WORK**

This part of the chapter is a brief summary of the place of coaching in the school's structure and processes in order to integrate the various aspects of performance management discussed in this manual. To have maximum impact coaching should be:

- implicit to every job description
- central to learning and teaching and CDP policies
- central to the appraisal process
- an entitlement in induction
- the primary means of support for NQTs
- central to the work of team and school leaders
- regularly used in support for pupils
- developed as a skill for pupils
- supported through regular skills development
- subject to regular reviews.

Your responses to Workshop 9.5 will give you an indication of the extent to which coaching is fundamental to the way your school works.

## **SKILLS FOR EFFECTIVE COACHING**

Although it is firmly based in theories of learning and has a clear ethical dimension, coaching is fundamentally a matter of effective personal relationships. These are the same relationships that determine any human interaction and they have a clear and well-understood skills base. Such skills cannot be developed through texts such as this

– they require active engagement with a skilled trainer and then embedding in school practice through coaching and habitual practice.

An inventory of the skills needed to support effective coaching for performance management would include the following:

- Appropriate body language:
  - suitable posture
  - sensitive eye contact
  - reinforcing and affirming gestures
  - open and positive, non-threatening, non-intimidating
- Questioning:
  - use of open questions
  - avoidance of closed and leading questions
  - use of questions to test, check and clarify
- Active listening:
  - positive engagement
  - regular summarising
  - attentive body language
- Giving feedback:
  - continuing understanding
  - checking feelings and emotions
  - summarising
  - building and explaining
- Communication:
  - clear and concise use of language
  - appropriate vocabulary
  - confirming and clarifying

- Managing the meeting:
  - agreeing the agenda
  - managing time
  - reaching consensus
  - maintaining the focus
- Personal qualities:
  - sense of humour
  - empathy and rapport
  - supportive and engaged
  - honesty
  - enthusiasm
  - optimism.

The importance of these skills in coaching is captured by Goleman (2002, p.62):

*Coaching's surprisingly positive emotional impact stems largely from the empathy and rapport a leader establishes with employees. A good coach communicates a belief in people's potentials and an expectation that they can do their best. The tacit message is, 'I believe in you, I'm investing in you, and I expect your best efforts.' As a result, people sense that the leader cares, so they feel motivated to uphold their own high standards for performance, and they feel accountable for how well they do.*

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# Workshop materials

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### Workshop 9.1

## LEARNING THROUGH COACHING

Consider a number of learning experiences where you feel you engaged in deep or profound learning. What were the main characteristics of your learning? (Use the examples given or add any of your own that you are prepared to discuss.)

- Learning to play a musical instrument
- Learning to swim, ride a bike or drive a car
- Learning to use a computer
- 
- 
- 

Now share your learning experiences with others to build a set of criteria for effective learning.

What are the implications of your findings for your professional development?

## Workshop 9.2

# DEFINING COACHING

Consider each component of the definition of coaching offered on p. 129 and repeated below. Is this an acceptable definition? What are the implications for practice in your school?

Coaching is:

- a long-term
- one-to-one professional relationship
- in which the coach actively supports the learner
- build to capacity
- to improve performance.

Acceptable? Yes/No

Implications:

Is there a better definition for use in your school?

Workshop 9.3**THE CHARACTERISTICS OF COACHING**

By using your responses to Workshops 9.1 and 9.2 and your own experiences as teacher and coach, elaborate on the sorts of behaviours that you would expect to find at each stage of the coaching process.

1 The articulation of standards

2 Feedback on actual performance

3 Implementation of strategies

4 Feedback on performance

5 Revisiting and restatement

### Workshop 9.4

## THE QUALITIES OF COACHING

The purpose of this workshop is to allow you to explore the detailed aspects of coaching by relating the qualities listed on p. 131 to your own experience of highly effective teachers and leaders. For each quality, identify specific aspects of behaviour, language, etc.

1 They possess expertise and specialised knowledge

2 They understand their own knowledge

3 They possess intuitive coaching skills

4 They are highly perceptive and skilled problem solvers

5 They are highly reflective

6 They are inclusive

### Workshop 9.5

## COACHING AT WORK

How fundamental is coaching to the way your school works? Rate each aspect below:

A = well established, B = present but inconsistent, C = not really present.

	A	B	C
● Implicit to every job description			
● Central to learning and teaching and CDP policies			
● Central to the appraisal process			
● An entitlement in induction			
● The primary means of support for NQTs			
● Central to the work of team and school leaders			
● Regularly used in support for pupils			
● Developed as a skill for pupils			
● Supported through regular skills development			
● Subject to regular reviews			

### Workshop 9.6

## SKILLS FOR EFFECTIVE COACHING

Complete this diagnostic inventory to review your skills as a coach. Ask your coach to complete the inventory about you and compare perceptions. Use the rating scale:

1 = high confidence, 4 = an area for development.

	1	2	3	4
<ul style="list-style-type: none"> <li>● Appropriate body language:               <ul style="list-style-type: none"> <li>– suitable posture</li> <li>– sensitive eye contact</li> <li>– reinforcing and affirming gestures</li> <li>– open and positive, non-threatening, non-intimidating</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Questioning:               <ul style="list-style-type: none"> <li>– use of open questions</li> <li>– avoidance of closed and leading questions</li> <li>– use of questions to test, check and clarify</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Active listening:               <ul style="list-style-type: none"> <li>– positive engagement</li> <li>– regular summarising</li> <li>– attentive body language</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Giving feedback:               <ul style="list-style-type: none"> <li>– continuing understanding</li> <li>– checking feelings and emotions</li> <li>– summarising</li> <li>– building and explaining</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Communication:               <ul style="list-style-type: none"> <li>– clear and concise use of language</li> <li>– appropriate vocabulary</li> <li>– confirming and clarifying</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Managing the meeting:               <ul style="list-style-type: none"> <li>– agreeing the agenda</li> <li>– managing time</li> <li>– reaching consensus</li> <li>– maintaining the focus</li> </ul> </li> </ul>				
<ul style="list-style-type: none"> <li>● Personal qualities:               <ul style="list-style-type: none"> <li>– sense of humour</li> <li>– empathy and rapport</li> <li>– supportive and engaged</li> <li>– honesty</li> <li>– enthusiasm</li> <li>– optimism</li> </ul> </li> </ul>				

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# Creating and sustaining a high-performance culture

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## INTRODUCTION

The previous nine chapters of this manual have been concerned with the structures, processes and relationships necessary for effective performance management (the bones and the muscle); this chapter is concerned with the least tangible but probably most significant aspect of performance – organisational culture (the heart and the soul). We have already made the point that performance management is possibly a misnomer; leadership for performance is probably more appropriate. This chapter will analyse the factors that contribute to a high-performance culture, i.e.

- understanding culture
- creating a learning community
- a commitment to change.

## UNDERSTANDING CULTURE

Culture is the ‘soft’ side of the business: culture is to the organisation what personality is to the individual – culture is the ‘the way we do things round here’. Organisation culture is complex and elusive – that is why it is so much easier to manage an organisation through systems and protocols, rules and structures, rather than through values, relationships and perceptions. And yet, it is the intangibles that actually make the difference to engagement, commitment, a sense of pride and a feeling of personal investment.

*Culture, not official rules or policies, ultimately dictate what you can do and what you can't. Since culture may well be the key factor in influencing whether a company succeeds or fails, it needs to be high on the list of management priorities. Lack of comfort with the concept is no excuse: If you don't give cultural ways and practices the attention they demand, they will come back and bite you.*

(Deal and Kennedy, 2002, p. 40)



Deal and Kennedy point out that companies that they categorise as culturally strong earned over 500 per cent more than those that were relatively culturally deprived. Goleman (2002, p. 251) argues that highly intelligent partners in companies are in fact less productive and profitable than those with high emotional intelligence. Transforming such findings to schools is difficult, although Bryk and Schneider (2002) have demonstrated a strong correlation between schools with high levels of trust and academic performance. Schools with high trust had a one in two chance of making significant improvements in mathematics and reading. Those with weak relationships had only a one in seven chance of making gains. Highly significantly, the only schools in the latter category that did make gains were those that strengthened trust as a prerequisite to academic success. There might be some validity in seeing organisation culture as a crucial factor in sustainable high performance.

A synthesis of Deal and Kennedy, Goleman, Bryk and Schneider produces the following list of the components of a high-performing culture:

- Trust
  - respect for one another's dignity
  - belief in each other's competence
  - personal regard: do we care about each other?
  - integrity: do we keep our word?
- Emotionally intelligent culture:
  - values and integrity
  - listening and consulting
  - a bottom-up strategy
- Deep and abiding shared purpose:
  - values and beliefs
  - focus and behaviour
  - ritual, ceremony and stories
  - networks.

Senge et al. (2000, p. 325) capture this fundamental element of a school's life:

*A school's culture is its most enduring aspect ... Culture is deeply rooted in people. It is embodied in their attitudes, values and skills.*

Workshops 10.1 and 10.2 will give you the opportunity to reflect on the prevailing culture in your school.

It is worth remembering in this context that language is everything and that the vocabulary employed by a school's leadership is one of the most significant factors determining culture.

## **CREATING A LEARNING COMMUNITY**

The previous discussion focused on culture in terms of perceived relationships and the quality of the working experience. However, culture is not neutral; it exists to serve a purpose, and it requires a focus. It may sound tautological to propose that a school should aspire to become a learning community but in fact (as was discussed in Chapter 3) there are multiple core purposes available to a school and each of them has profound implications for the prevailing culture. The criteria for a learning community might include the following components:

- a shared definition of learning, i.e. staff, pupils, parents and the community using a common language about the learning process
- a focus on the learning of the individual as the starting point for all activities, based on learning styles
- an individually negotiated curriculum reconciling individual aptitudes and social needs
- assessment and accreditation based on what has been achieved rather than what has been failed
- integration of the community as facilitators of learning, learning resources and learners
- development of the meta-curriculum – learning how to learn

- coaching as the key pedagogic tool
- recognition that there are multiple intelligences (not one) and that intelligence can be learnt
- ICT used for information management, research, assessment, cognitive enrichment and administration
- staff as learners, researchers and creators of knowledge.

Taken together, these elements would reinforce the sort of culture described above, since the interpersonal and relational issues would be fundamental to achieving a learning community and would be reinforced in a symbiotic relationship by the activities of such a community. As Senge et al. (2000, p. 5) express it:

*It is becoming clear that schools can be re-created, made vital, and sustainably renewed not by fiat or command, and not by regulations, but by taking a learning orientation. This means involving everyone in the system in expressing their aspirations, building their awareness, and developing their capabilities together.*

The same point is made by Fullan (2001, p. 70):

*To be successful beyond the very short run, all organisations must incorporate moral purpose; understand complexity science; and respect, build and draw on new human relationships with hitherto uninvolved constituencies inside and outside the organization. Doing these things is for their own good, and the good of us all.*

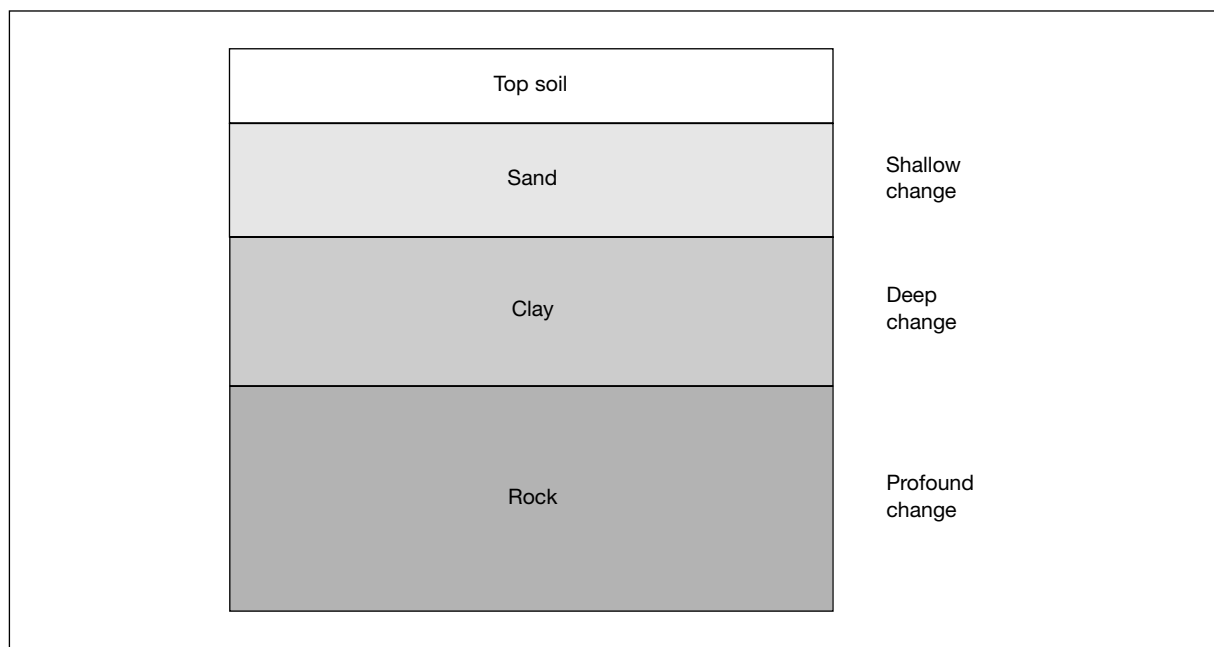
## **A COMMITMENT TO CHANGE**

If a school is able to develop as a learning community and cultivates a culture of high-quality personal relationships then it is laying the foundations for sustainable improvement and thus deeply rooted high performance. This involves perpetual change, which is at the very heart of learning – it is impossible to learn without changing, it is impossible to improve without changing. To be committed to learning is to accept that change becomes the dominant theme of leadership. To talk of leadership is to recognise the need for change. In spite of the thousands of texts bearing the title, it is impossible to manage change – ‘managing change’ is an oxymoron.

The bad news as far as schools are concerned is that high performance means an ever-receding finishing line: standards and expectations will change, definitions of performance will be altered. Performance management therefore has to recognise that in order to improve performance there has to be change, both personal and organisational. As Fullan (2001, p. 137) argues:

*What is needed for sustainable performance, then, is leadership at many levels of the organization. Pervasive leadership has a greater likelihood of occurring if leaders work on mastering the five core capacities: moral purpose, understanding of the change process, building relationships, knowledge building, and coherence making. Achieving such mastery is less a matter of taking leadership training and more a case of slow knowing and learning in context with others at all levels of the organization.*

Figure 10.1 shows the options available to schools and the implications for the way in which they perceive performance.



**Fig. 10.1 Levels of change**

Working with the top soil or even the sandy subsoil is beguiling because it is relatively easy and produces superficially dramatic change – but it is literally cosmetic. Moving into deep change is relatively complex and harder, while moving into profound change requires a fundamental reorientation of techniques and tools. However, it is also true that the deeper the foundations the more secure the building.

Sustainable high performance has to be built on very deep foundations, with profound learning and 'pervasive leadership' as the deepest elements. If these are reinforced by a clear moral purpose and powerful relationships then the school will be able to sustain performance and change and so transform.

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# Workshop materials

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10.4	Schools as learning communities (2)	154
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Workshop 10.1**DEVELOPING A PERFORMANCE CULTURE**

Where is your school on each continuum below?

What are the implications of the overall balance of your scores?

**Formal****Affective**

Policies and procedures. . . . . Values and norms

Conformity . . . . . Creativity

Performance criteria . . . . . Stories and metaphors

Management . . . . . Leadership

Line management . . . . . Leadership relationships

Training . . . . . Learning and development

Control. . . . . Trust

Extrinsic motivation . . . . . Intrinsic motivation

Individualism. . . . . Collaboration

Quantitative measurement. . . . . Qualitative measurement

External accountability. . . . . Internal accountability

Groups . . . . . Teams



Workshop 10.2

## STORIES AND IMAGES

1 What are the words that you would use to describe the culture of your school?

2 What are the images and metaphors that are used in the school?

3 What rituals and symbols are used in the school? What sort of culture do they represent?

### Workshop 10.3

## SCHOOLS AS LEARNING COMMUNITIES (1)

Use this diagnostic inventory (or your version of it) to canvas the views of all the stakeholders in your school as to the extent to which it is a learning community.

1 = not present, 5 = fully established.

1	A shared definition of learning	1	2	3	4	5
2	Focus on the learning of the individual	1	2	3	4	5
3	Individually negotiated curriculum	1	2	3	4	5
4	Learning-focused assessment and accreditation	1	2	3	4	5
5	Integration of the community	1	2	3	4	5
6	Use of the meta-curriculum	1	2	3	4	5
7	Coaching	1	2	3	4	5
8	Multiple intelligences	1	2	3	4	5
9	ICT focused on learning	1	2	3	4	5
10	Staff as learners	1	2	3	4	5

### Workshop 10.4

## SCHOOLS AS LEARNING COMMUNITIES (2)

Use the questions below to focus discussions on the place of learning in the school.

1 How much learning is taking place in school and how do we know?

2 What definitions of learning are in use in the school?

3 If we were to design a place for people to learn in, would we create a school?

4 Does our leadership model learning?

5 Is everyone learning to optimum effect every day?

6 Do our systems support learning or curriculum delivery?

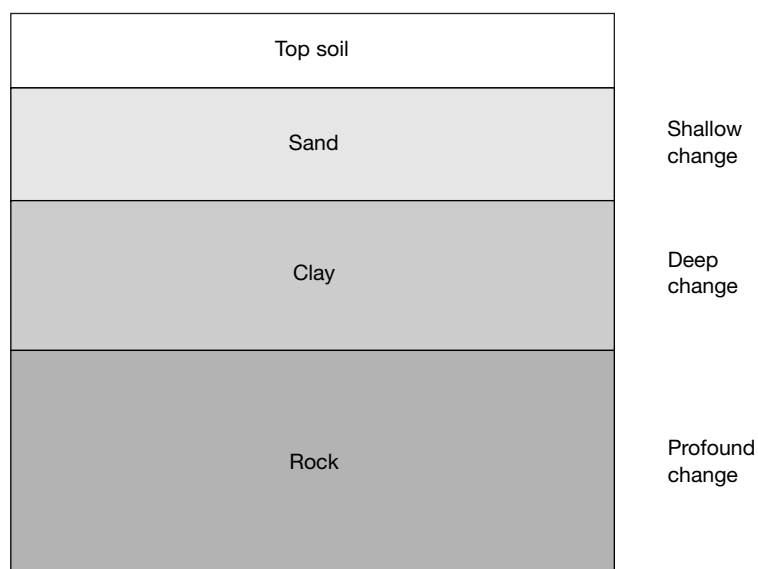
7 Is learning on every agenda?

Workshop 10.5**LEVELS OF CHANGE**

1 What level of change is your school working at now?

2 How deep does it go?

3 What are the issues facing the school?



### Workshop 10.6

## REVIEW AND REFLECTION

On the basis of working through this manual, where do you perceive your school to be as far as sustainable high performance is concerned?

Use the SWOT diagram below to summarise your analysis.

<b>Strengths</b>	<b>Weaknesses</b>
<b>Opportunities</b>	<b>Threats</b>

- 1 How far does your perception coincide with that of your colleagues?
- 2 What action does each quadrant require?

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# The professional portfolio

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It is a bizarre fact that teachers who are often so skilled at supporting the learning and development of others neglect the systematic management of their own development and learning. An effective performance management system should encourage and support the engagement of teachers with their own learning and career development.

The professional portfolio is a powerful vehicle for ensuring that teachers are able to take control of their own professional learning. It can be regarded as a professional entitlement that ensures that teachers have an accurate record of their professional development and career planning. The portfolio can serve a number of functions:

- ensuring that personal professional data is up to date
- keeping an accurate record of professional development activities
- providing a personal record of the performance management process
- providing evidence to support the writing of references
- acting as a personal record of achievement.

Certain principles should inform the use of professional portfolios:

- they are the personal property of the teacher
- they are confidential
- they are only used on the teacher's terms
- their use cannot be assumed in any school process.

The professional portfolio might include:

- current CV
- current job description
- performance management targets
- evidence of attendance at courses

- information on special projects
- photographs, videos, etc.

Examples of pro formas that might be used in a professional portfolio are provided on the following pages.

## CURRICULUM VITAE

### **Personal data:**

- 1 Full name
- 2 Address
- 3 National Insurance number
- 4 DfES registration number

### **Qualifications** (in reverse chronological order):

- 1 Institutions
- 2 Dates
- 3 Title/subject (grade) of qualification

### **Professional experience** (in reverse chronological order):

- 1 Institution
- 2 Dates
- 3 Job title(s)
- 4 Key responsibilities

### **Other relevant experience:**

### **Attendance at CPD activities:**

### **Membership of professional bodies:**

### **Personal and professional achievements:**



## RECORD OF TEACHER REVIEW

---

**Name:**

**Current role:**

**Reviewer:**

**Date of review:**

**Agreed focus for the review:**

**Observation:**

Agreed focus:

Teaching group:

Date:

Lesson/time:

**Agreed outcomes:**

- 
- 
- 

**Agreed targets:**

- 
- 
-

## LESSON OBSERVATION

<b>Teacher:</b>   <b>Observer:</b> <b>Topic:</b>	<b>Class:</b> <b>Number present/number on register:</b> <b>Date and time:</b>
<b>Agreed focus criteria:</b>  1 2 3	
<b>Introduction to the lesson:</b> Comments	
<b>Appropriateness of teaching strategies and activities:</b> Comments	
<b>Quality of learning:</b> Comments	
<b>Classroom management and behaviour:</b> Comments	
<b>General comments by observer and teacher:</b>	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>Signature of teacher:</b> </div> <div style="width: 45%;"> <b>Signature of observer:</b> </div> </div>	

## RECORDING OF CONTINUING PROFESSIONAL DEVELOPMENT ACTIVITIES

---

**Title of course/event:**

**Date:**

**Venue:**

**Organiser:**

**Key outcomes of the activity:**

- 
- 
- 
- 
- 

**Implications for work in school:**

- 
- 
- 
- 
- 

Certificate of attendance attached.

## PROJECT MANAGEMENT RECORD

**Title of project:**

**Project leader:**

**Dates of project:**

**Members of project team:**

**Role in the project:**

**Aims, objectives and purpose of the project:**

- 
- 
- 
- 
- 

**Outcomes of the project:**

- 
- 
- 
- 
- 

**Personal learning and development as a result of the project:**

- 
- 
- 
- 
-



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## Appendices

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- 1 A teacher's performance management checklist 167
- 2 A school's performance management checklist 168



## Appendix 1

### **A teacher's performance management checklist**

For performance management to support your professional development you should be able to answer 'yes' to the following statements:

1 I know and understand the school's performance management policy	Yes	No
2 I have an up-to-date and accurate job description, which I have negotiated	Yes	No
3 I know and understand the school's criteria for effective learning and teaching	Yes	No
4 I have confidence in my appraiser/reviewer	Yes	No
5 My personal portfolio is complete and up to date	Yes	No
6 I know how to get coaching and CPD to support me meeting my targets	Yes	No
7 I know and understand the school's development plan and/or improvement strategy	Yes	No
8 I am confident that the process is confidential	Yes	No
9 I have completed a rigorous and systematic self-review of my performance	Yes	No
10 I have a clear view of my personal and professional needs and aspirations	Yes	No



## Appendix 2

# **A school's performance management checklist**

This checklist can be used by those responsible for leading and managing performance management to ensure that the process and systems are robust and workable.

1	The performance management strategy has been subject to full consultation	Yes	No
2	The strategy has the support of all the staff	Yes	No
3	The strategy has the support of the governing body	Yes	No
4	The strategy is consistent with, and supportive of, school management structures and processes	Yes	No
5	All staff have received training in the principles and practice of the strategy	Yes	No
6	Appropriate staff have received relevant skills training	Yes	No
7	All staff are aware of the resource constraints operating on the strategy	Yes	No
8	The process has been timetabled in the school calendar	Yes	No
9	Time has been created for individuals to complete the process	Yes	No
10	The leadership team are the first to have their performance reviewed	Yes	No
11	There is a real sense that the school 'owns' the performance management process	Yes	No
12	Performance management is seen as a means to an end, not an end in itself	Yes	No

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