

HEADTEACHER APPRAISAL

Guidance for Governors, Frequently Asked Questions

1. What is appraisal?

All schools are required to have an appraisal process in place for all teachers and this includes the headteacher. An effective appraisal process is a framework to allow a clear and consistent assessment of performance of staff at the school and for supporting their development and professional needs within the context of the School's Development/Improvement Plan. It is key in securing progress and improvement in the school.

2. Should the School have an Appraisal Policy?

For teachers it is a legal requirement for governors to have an appraisal policy. The governing body must have formally adopted a teacher appraisal policy and the Borough have produced a model policy which is available on the school governor pages at www.redbridge.gov.uk

The appraisal arrangements for teachers are under-pinned by statutory regulations issued in 2012 and should also be read in conjunction with the School's Pay Policy.

http://www.legislation.gov.uk/ukxi/2012/115/pdfs/ukxi_20120115_en.pdf

3. Who does appraisal apply to?

The model LA policy applies to all teaching staff including the headteacher. It does not apply to staff on contracts of less than one term, teachers in their induction year and those who are subject to the capability procedure.

4. How does the appraisal of the headteacher differ from other staff?

The principles of the headteacher's appraisal are the same as for the other staff within school. The process differs however because it is a panel of governors, delegated with this responsibility by the Governing body, which appraises the performance of the headteacher, advised and supported by an external adviser.

Headteachers must be assessed against the Teachers' Standards but the Governing Body may also wish to use the National Standards of Excellence for Headteachers (DfE January 2015)

5. What is the role of the governors in the headteacher's appraisal?

The governing body is responsible for the headteacher's appraisal. The governing body should appoint a minimum of two (three are recommended) members of the governing body as reviewers for the headteacher and act as the Review Panel.

The governing body should seek to secure a balanced representation of reviewers, taking account of such factors as gender, ethnic group and age. The reviewers should ideally have the knowledge and experience to carry out the role and should not have any personal or pecuniary interest and should not be members of the school staff or paid to work at the school.

In accordance with the statutory regulations the governors review panel must be supported by a suitably skilled and/or experienced external adviser who is appointed by the governing body for that purpose.

A separate panel of governors should also be appointed to hear appeals (this can be the Governing Body's Appeals Panel).

6. What is the role of the Review Panel?

The panel is charged with:

- informing the headteacher of the standards against which her/his performance will be assessed;
- reviewing the headteacher's performance;
- setting new objectives;
- agreeing and implementing arrangements for evaluating performance against previously set objectives; and
- providing the headteacher with a written record of her/his appraisal.

There must also be a recommendation on the headteacher's pay but, depending on the school's delegation decisions, this may be the responsibility of the pay panel.

7. Is there any advice and training available for governors in their role as reviewers?

Documents which provide guidance relevant to headteacher performance management include:

- The governance handbook (Department for Education, November 2015)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/481147/Governance_handbook_November_2015.pdf
- Implementing your school's approach to pay (Department for Education, September 2016)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/544807/Implementing_your_schools_approach_to_pay.pdf
- School teachers' pay and conditions document and guidance and guidance on school teachers' pay and conditions (Department for Education, September 2016)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/550286/STPCD_2016_guidance.pdf
- Teachers' Standards : Guidance for school leaders, school staff and governing bodies (Department for Education, July 2011 (introduction updated June 2013))
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/301107/Teachers_Standards.pdf
- National standards of excellence for headteachers: Departmental advice for headteachers, governing boards and aspiring headteachers (Department for Education, January 2015)
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/396247/National_Standards_of_Excellence_for_Headteachers.pdf
- your school's appraisal policy (the model policy is available on the Redbridge website and the school's policy available from the school).

The Redbridge Governor Support Service provides governor training sessions for members of the review panel each year which governors are encouraged to attend. Details of these are available from the Governor Support Service at: governorssupport@redbridge.gov.uk.

Where a governing body would like an individual, tailored training session this can be arranged on a consultancy basis by contacting the Governor Support Team at the above email address.

8. What is the role of the external adviser in the appraisal of headteachers?

Governing bodies are required to take external advice on the appraisal of headteachers. It is for the governing body to agree who this person will be and they must be satisfied that they are suitably skilled and/or qualified. In many cases this role is carried out by the Local Authority's school improvement adviser allocated to the school.

The role of the external adviser is to support governors in the evaluation process and give relevant high quality advice to the panel. This will support governors in answering these key questions:

- has the headteacher met their current performance objectives?
- how well has the headteacher performed overall?
- what should form the focus for the headteacher's future objectives?
- what personal and professional development opportunities might benefit the headteacher?

9. What role does the headteacher play in their own appraisal?

Headteachers need to be actively engaged in the process so that they have ownership of the outcomes. The process should be supportive yet rigorous and designed to promote an open, challenging and professional dialogue that encourages the headteacher to:

- reflect on their performance and achievements over the past year;
- assess their needs for personal development;
- suggest key priorities for moving forward that are clearly linked to the school improvement plan

10. What are the stages of the appraisal process?

- i) Planning - when objectives are set and a personal planning and review statement is produced.
- ii) Monitoring and support which is ongoing throughout the cycle, including a mid-term review.
- iii) Review - when an overall assessment is made of the individual's progress taking into account the objectives set at the beginning of the cycle.

11. What does the planning stage involve?

The planning takes place at the beginning of the appraisal cycle and involves the setting of objectives. The performance objectives need to be carefully considered and discussed with the headteacher.

The number of objectives that are set must be reasonable. The recommended number is three to five. Timescales for the achievement of the objectives need to be realistic and balanced within the

overall context of the school. There is no requirement for there to be specific types of objectives, however good practice indicates that at least one should relate specifically to whole school leadership and one to pupil progress.

In drafting the objectives the panel should consider the context/performance of the school and its priorities for improvement, by referring to, for example:

- the latest reports from any external adviser/s;
- the school's latest Raiseonline and Inspection Dashboard reports
- the school self-evaluation document (SEF);
- the school improvement plan;
- the most recent Ofsted report;
- the latest minutes of any LA progress review meetings, if relevant.

Copies of any documents should be requested by the panel and read in advance of the meeting.

The external adviser will help the panel to set realistic success criteria linked to, for example, improved outcomes in reading, writing and maths at the end of Key Stage 2 or GCSE results in secondary schools. The scope of the pupil progress target should be clear and reasonable e.g. if the objective relates to reading this could be across the whole school or it could be across a key stage.

By discussing the potential barriers to improving achievement, other objectives may suggest themselves, which may relate to, for example;

- improving the quality of teaching (e.g. using assessment);
- improving the use of data to inform planning;
- securing effective subject leadership;
- improving provision in a particular age/stage;
- enriching the curriculum to meet the needs of all pupils;
- attendance;
- behaviour and exclusions.

The panel should consider what evidence they would expect to find at the end of the year to see if the objectives have been met. To help in this the objectives should be SMART identifying clear outcomes:

Specific – clearly defined;
Measurable;
Achievable;
Relevant and resourced; and
Timely.

The external adviser will support the panel in proposing and drafting objectives and success criteria for the year ahead. It is the responsibility of the panel to draft the final wording and complete the necessary paperwork. A copy should be sent to the external adviser in addition to the headteacher.

Discussion should also take place regarding the headteacher's development needs. The panel needs to be responsive to development opportunities that the headteacher may wish to undertake.

12. What if the headteacher and the review panel do not agree on the objectives?

The headteacher can add a written comment indicating that they are not in agreement however there is no process for the headteacher to appeal the choice of objectives.

13. How is the monitoring undertaken?

The Panel should be actively monitoring the headteacher's performance and progress throughout the year. There should be a monitoring meeting part way through the year to monitor progress and confirm that the objectives are still relevant. The arrangements for this monitoring of the headteacher's performance should be agreed as part of the appraisal review and objective setting meeting.

It is good practice for the panel to identify key sources of evidence on the Headteacher Appraisal Review and Objective Setting Statement. Possible sources of school generated documentation that are a key source of evidence, include;

- the school self-evaluation document (SEF);
- the school improvement plan;
- the school's data analysis / achievement report;
- the headteacher's reports to the governing body;

There is also much external, published data that the Review Panel will be able to consider;

- The school's annual statistical report (ASR) published by the LB Redbridge Research and Data Service
- The Raiseonline report and Inspection Dashboard report
- The most recent Ofsted report.

14. What happens at the review meeting?

If the performance review process is working effectively then there should be no surprises at this meeting. It is the role of the reviewers to lead the meeting with the support of the external adviser, advising where relevant. The atmosphere needs to be positive and conducive to open, frank and challenging discussion.

The review should evaluate impact against each of the success criteria, based on the evidence presented and not just limited to whether actions have been completed.

15. What happens after the review meeting?

Following the meeting the Headteacher Appraisal Review and Objective Setting Statement is drafted and this essentially captures what has been agreed about the headteacher's performance and their future objectives. This should be completed and retained by the Chair of the Panel with copies going to the headteacher and external adviser.

It is advisable that the Performance Review Panel and the headteacher draw up a monitoring timetable, including a mid-term review meeting. They should agree when they will meet through the year and how the monitoring data will be collected. This will allow an evaluation of progress towards the meeting of the objectives, adjusting the objectives/timelines as necessary and identifying any support required.

16. What are the timings of the process?

The performance of all staff must be reviewed on an annual basis. It is the responsibility of the Governing Body to confirm that the headteacher is carrying out her/his duties in respect of appraising other staff (including recommendations on pay).

Under the statutory regulations the planning and review for the headteacher must be completed by 31st December each year. It is advisable however, that it takes place as early as possible in the academic year as the headteacher's objectives should be used to inform those of the senior leadership team and other staff.

17. How do the timelines work practically?

Please see the table at the end of the FAQs. The regulations state that the headteacher's appraisal report must be completed and sent to the headteacher by the 31st December at the latest.

18. How is the appraisal and pay related?

Each year, the Governing Body has a duty to consider whether or not to increase the salary of the headteacher (where the headteacher has completed a year of employment since the previous pay definition). The decision about whether or not to award pay progression must be related to the appraisal of the headteacher's performance and should be well documented.

The Headteacher Appraisal Review and Objective Setting Statement should include a written recommendation on pay.

When determining an appropriate pay range for a newly appointed headteacher, the Governing Body will have taken into account all of the permanent responsibilities of the role, any challenges that are specific to the role, and all other relevant considerations. They will have ensured that there is appropriate scope within the range to allow for performance-related progress over time.

Pay ranges for headteachers should not normally exceed the maximum of the headteacher group. However, The Governing Body may determine that circumstances warrant a higher than normal payment. They must ensure that the maximum of the headteacher's pay range and any additional payments made does not exceed the maximum of the headteacher group by more than 25% other than in exceptional circumstances; in such circumstances, the governing body must seek external independent advice before providing such agreement and support its decision with a business case.

If governors need advice on pay arrangements they should contact their school's HR Adviser.

19. Who decides whether the headteacher should get a pay award?

The Performance Review Panel will decide whether or not to recommend that the headteacher receives a pay award. The governing body will need to decide whether to delegate the decision to the Review Panel or some other committee e.g. the Pay Committee.

The external adviser can provide appropriate advice but will leave the Panel to discuss and reach their decision.

It can be reported to the full Governing Body that the headteacher's objectives have been set and met, as appropriate.

20. What if the headteacher disagrees with the decision?

The headteacher then has a right of appeal. This is in line with the provisions of the School's Pay Policy and this document explains the process for the appeal.

21. What if the governors have questions about the headteacher's capability?

Governors have a duty to discuss issues to do with the headteacher's performance with them. If they have concerns, these should have been raised with the headteacher prior to the performance review. It would not be appropriate to raise any such issues for the first time during the performance review meeting.

22. What happens if a headteacher joins the School part way through the School's Performance Management Cycle?

In this situation, the Review Panel with the support of the external adviser would normally meet to agree performance objectives, criteria, support and professional development needs in the new post and School. The timescales will reflect the period left before the end of the School's appraisal cycle and should be recorded within the paperwork.

The new headteacher can also ask their previous reviewers to forward their documentation and evidence to the governing body of the new School.

23. What happens if the headteacher leaves during the Appraisal Cycle?

There is no legal requirement to conclude the headteacher's appraisal however the headteacher can request a review meeting with the Panel before leaving the post.

Who is responsible for what – A summary

The Process Timeline

July	<p>Panel of governors identified to form the review panel (minimum two, three recommended).</p> <p>The governing body decides/confirms the person to carry out the role of external adviser</p>
September	<p>The external adviser contacts the headteacher with suggested dates/times for the review meeting. The headteacher agrees the appointment in consultation with the Review Panel members.</p>
Pre Meeting	<p>Members of the Review Panel familiarise themselves with the process and policy adopted by the School and available evidence regarding the headteacher's progress. They should also be aware of the pay range for the headteacher's group and where the headteacher is currently within that range.</p> <p>The headteacher reflects on previous year's objectives and gives thought to appropriate objectives for the year ahead.</p>
September – October	<p>On the day, the usual (but not required) pattern is as follows:</p> <ul style="list-style-type: none"> • The external adviser meets with the headteacher to go through the evidence being submitted for consideration by the review panel. This evidence will draw upon what the headteacher has been producing through the year (e.g. including school generated and external documents/data). • The external adviser then meets with the review panel to advise them on the review process and to help them to map out new objectives • The headteacher joins the meeting to: <ol style="list-style-type: none"> i) Present her/his evidence re: progress towards achieving each of the last years' objectives. ii) Agree new objectives and success criteria for the coming year. iii) Discuss their professional development/support needs. • The Panel decides whether or not to recommend that the headteacher receives a pay award.
After the meeting	<p>The Chair writes up the performance review statement.</p> <p>The headteacher has an opportunity to appeal if unhappy with the pay determination.</p>
February- March	<p>The Review Panel meet the headteacher to monitoring the progress of current objectives</p>