

## Essex County Council

### Headteacher Appraisal Guidance 2020-2021

#### Introduction

Appraisal is a tool for school improvement. It is a key and integral part of school self-evaluation and improvement planning. All staff have an entitlement to a professional discussion about their development and progress. The Headteacher's appraisal drives the school improvement process and sets the standard for staff to follow.

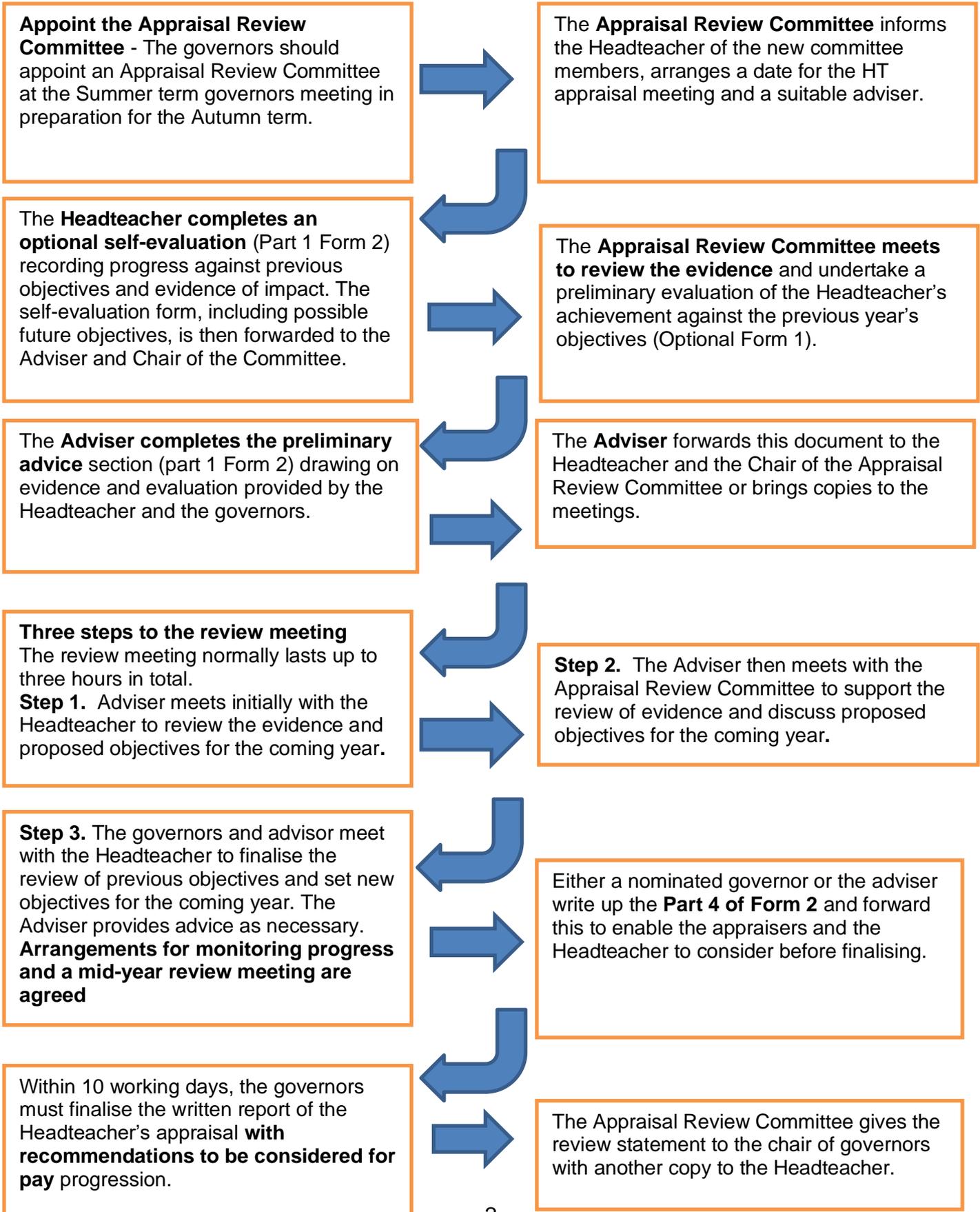
Essex School Effectiveness Team have developed the following guidance to support Governing Bodies and Headteachers in the appraisal process. The guidance also includes a step by step guide, suggested proformas and frequently asked questions.

#### Contents

<b>Page 2</b>	Headteacher Appraisal flowchart
<b>Pages 3-5</b>	The Appraisal process
<b>Page 6</b>	Frequently asked questions
<b>Pages 7</b>	Form 1
<b>Pages 8-15</b>	Form 2
<b>Page 16</b>	An 'aide-memoire' for Governor Reviewers during the process

## Outline of Process

### SUGGESTED HEADTEACHER APPRAISAL- FLOW CHART



## The Appraisal process

### Appointing Appraisers

The Governing Body has a statutory duty to monitor and manage the performance of the Headteacher on an annual basis. The task of appraising the Headteacher, including the setting of objectives, is delegated to a sub-group consisting of two/three members of the Governing Body. It is recommended that appraisers undertake training.

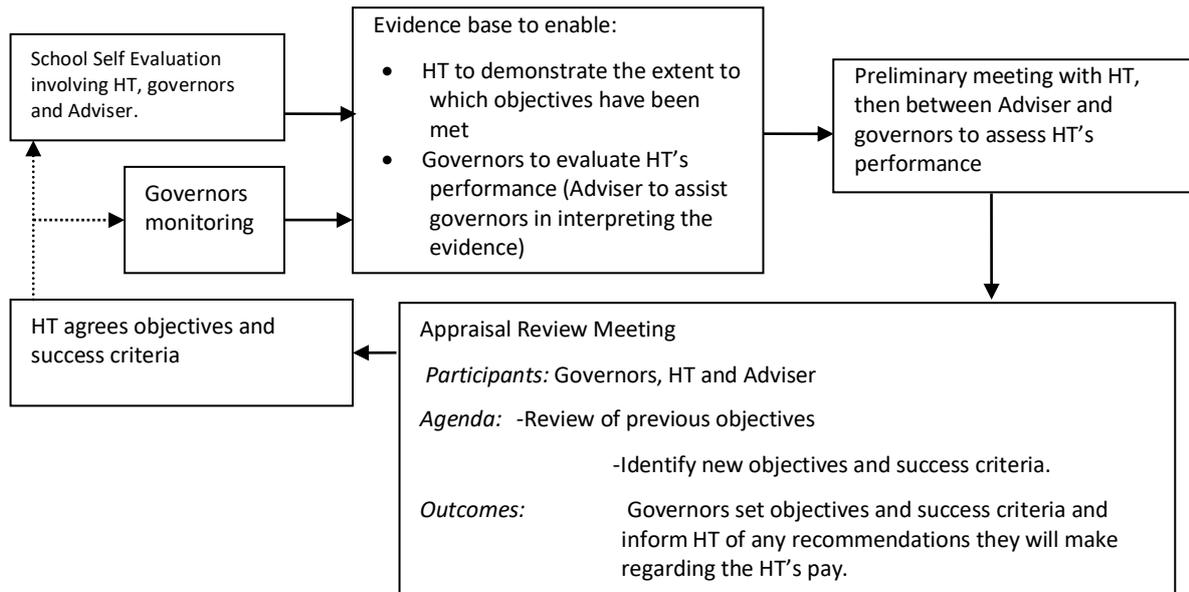
It is important for governing bodies to consider the membership of the Appraisal Review Committee in case there is an appeal.

Under the 2012 School Teachers' Appraisal Regulations, the Governing Body must appoint an External Adviser for the purpose of providing it with advice and support in relation to the appraisal of the Headteacher.

### Purpose and Structure of the Appraisal Meeting

- ❖ The Headteacher completes a self-evaluation against her/his 2019/2020 objectives (Form 2). This must be forwarded to the Adviser prior to the review meeting. In completing their self-evaluation, the Headteacher should note impact against the agreed success criteria and the sources of evidence
- ❖ Ideally before the review meeting the Appraisal Review Committee should meet to prepare the appraisal process (Form 1). This should draw on information recorded at the mid-year review meeting held between the headteacher and the governor panel
- ❖ There are **3 steps** to the review meeting:
  - Step 1:** At the review meeting, the Adviser meets initially with the Headteacher to review the evidence provided in the self-evaluation and discuss proposed objectives for the coming year.
  - Step 2:** The Adviser then meets with the Appraisal Review Committee to support the review of evidence and discuss proposed objectives for the coming year.
  - Step 3:** The Governors then meet with the Headteacher to finalise and agree the statements, with advice on the process from the Adviser where necessary.
- ❖ As soon as practicable following the appraisal meeting, (5 working days) a nominated member of the Appraisal Review Committee or the External Adviser must draft the review statement and forward to the appraisers and the Headteacher for consideration and agreement. Within 10 working days, governors must finalise the written report of the Headteacher's appraisal.

## Head teacher Appraisal – Adviser role



### Supporting the Governors

The Adviser works closely with both the governors and the Headteacher to promote a supportive and open dialogue, through:

- a) A meeting with the Headteacher with an aim to help the Headteacher to:
  - Achieve a realistic perspective on their performance
  - Identify priorities which are sufficiently challenging but are not too ambitious
  - Recognise relevant areas for continuous professional development.
  - Recognise support for wellbeing within the school, especially the headteacher
- b) A meeting with the governors' review committee to help to form a more comprehensive picture of the Headteacher's performance than might otherwise be achieved, discussing the External Adviser's preliminary advice and the evidence which supports it.
- c) The formal appraisal review meeting. The atmosphere should be positive and conducive to open, frank and challenging discussion.
- d) Supporting the nominated governor to write up the statement or to write up the statement for the committee.

Training and development objectives should be recorded, together with the ways of meeting them as agreed at the review, in a separate annexe to the review statement.

The appraisal review committee gives the review statement to the Chair of the Governing Body, with another copy going to the Headteacher. A copy of the document should be retained for a period of six years.

Any recommendation on pay must not be taken to a meeting of the full governing body to ensure that any future process (i.e. possible appeal) is not compromised.

## Setting objectives

The guidance within the School Teachers' Appraisal Regulations 2012 states that objectives set must contribute to –

- a) improving the education of all pupils at the school
- b) The implementation of any plan the Governing Body designed to improve the school's educational provision and performance.

Objectives should largely relate to the School Development/Improvement Plan, in order that the school maintains a coherent strategy for improvement but also be personalised to the individual i.e. what do they need to do, what support they need. Appraisal should include an expectation of professional development as well as a focus on headteacher wellbeing. This will ensure the Appraisal meeting is less a list of success criteria and more of a two way/personalised discussion of how the Headteacher will achieve the objectives.

It is accepted practice to have 3 objectives although up to 6 can be set. At least one of the objectives should be related to Domain 2 of the National Excellence Standards for Headteachers (January 2015) 'Pupils and Staff' and directly impact on improving pupil achievement. It is suggested that there are two other objectives which are drawn from the four domains in the National Excellence Standards for Headteachers (January 2015.) Objectives should largely relate to the School Development/Improvement Plan, in order that the school maintains a coherent strategy for improvement. Headteachers are also covered by the Teaching Standards so there should be some evaluation against those as well

Objectives should be SMART (Specific, Measurable, Achievable, Realistic, Time-related) and aligned with the School Development Plan/School Improvement Plan.

e.g. 'Improve standards in mathematics at the end of KS2 by July 2019:

- ❖ At least 80% of pupils will achieve the Expected Standard
- ❖ Progress score to be at least equal to the national average

This shows an understanding of:

- ❖ Standards in mathematics in comparison to another core subject
- ❖ The comparative performance data
- ❖ The cohort (the particular year group of pupils)

A SMART objective could focus even more specifically, for example, on the performance of disadvantaged or a particular ethnic grouping, or an aspect of a subject for example, comprehension in reading and reasoning in mathematics.

The Headteacher and governors need to be clear what evidence they would expect to find at the end of the year to see if the objectives have been met.

To help with this process, objectives should be:

- Clearly defined and attainable
- Relevant to the needs of the school and leadership team
- Have associated interim milestones that can be monitored
- Measured against agreed success criteria.

## **The Role of the Adviser**

The Adviser should ensure that with both the Appraisal Review Committee and the Headteacher there is honest, supportive and professional dialogue looking at:

- The progress against the previous year's objectives
- The Headteacher's overall performance
- Headteacher's professional wellbeing of self, and others
- The priorities for future objectives
- Areas for the continuous professional development of the Headteacher

The meeting with the Headteacher should aim to help the Headteacher to:

- Achieve a realistic perspective on their performance
- Identify priorities which are sufficiently challenging but are not too ambitious
- Recognise relevant areas for continuous professional development.

The meeting with the Appraisal Review Committee should help them to form a more comprehensive picture of the Headteacher's performance than they might otherwise achieve.

## **Frequently Asked Questions**

### **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 the Headteacher. If they have concerns, these should have been raised with the Headteacher prior to the appraisal review process. This would not be an appropriate moment to raise any such issues for the first time.

### **Should the Adviser be involved in governor decisions about pay?**

No. It is not the role of the Adviser to recommend or advise on Headteacher pay.

This is the responsibility of the governors. Governors make decisions on pay progression based on performance against Headteacher Excellence Standards or Teacher Standards. If advice is needed governors should contact the school's HR provider.

### **What if the Headteacher and the Governing Body do not agree on the objectives or the review statement?**

The governors may decide to set them anyway and the Headteacher's written comments should be added to them.

### **Who can see the Headteacher appraisal review statement?**

- Any governors responsible for advising about or taking decisions on Headteacher's pay (if they ask for a copy)

Governors can also seek the Headteacher's agreement to circulate the objectives to the full governing body but this is discretionary and not provided for in legislation. All discussions are confidential and this should not be discussed or disclosed outside of those on the appraisal review committee. Once the review cycle is complete, you might find it useful to reflect on its effectiveness. Questions to consider include:

- Were examples and evidence used to develop the feedback to the Headteacher?
- Did the Headteacher feel supported?
- Did the Headteacher feel appropriately challenged?
- Did the governors feel that they could both support and challenge the Headteacher?
- Was the review meeting a positive and useful experience?
- Do the Headteacher's objectives link closely to the school improvement plan?
- Were the governors able to set a programme for monitoring?
- What have you learnt that could help you improve the Headteacher's performance appraisal and school evaluation?

**Preparation by Governor Appraisal Review Committee  
2019-20 Objectives**

**Use of this form is optional.** It is provided to enable the Appraisal Review Committee to prepare for the Headteacher's appraisal.

**Please ensure that all documentation is sent to the Headteacher and External Adviser in advance of the appraisal meeting.**

**Objectives for 2019/20**

**Progress and evidence from:**

Governors' monitoring and from the interim review meeting.  
Any relevant data for example ASP, tracking data, school reviews, surveys...

**Has the Review Committee received copies of the following:**

The Headteacher's self-evaluation (if completed by the Headteacher)  
School Self-Evaluation Form  
School Development Plan  
The National Standards for Headteachers

**Thoughts about objectives for the coming year**

Form 2

## HEADTEACHER PERFORMANCE MANAGEMENT

### HEADTEACHER PERFORMANCE MANAGEMENT 2020-2021

<b>Headteacher</b>			
<b>School Effectiveness Partner</b>		<b>School</b>	
<b>Names of Designated Governors</b>		<b>Date of Meeting</b>	

## PART ONE – REVIEW OF PROGRESS

1 Leadership & Management				
<b>Objective:</b>				
<b>Success criteria / agreed actions</b>				
	Progress and Impact & Sources of Evidence			
<b>Head's own view of progress</b>				
<b>Governors' comments</b>				
<b>Preliminary advice from SEP (if any)</b>				
Objective 1	Head's View	Governors' View	SEP's View	Additional comments
Met				
Partially Met				
Not Met				

2 Pupil Progress				
<b>Objective :</b>				
<b>Success criteria / agreed actions:</b>				
	Progress and Impact & Sources of Evidence			
<b>Head's own view of progress</b>				
<b>Governors' comments</b>				
<b>Preliminary advice from SEP (if any)</b>				

Objective 1	Head's View	Governors' View	SEP's View	Additional comments
Met				
Partially Met				
Not Met				

3 Wellbeing Objective				
Objective :				
Success criteria / agreed actions:				
<b>Progress and Impact &amp; Sources of Evidence</b>				
Head's own view of progress				
Governors' comments				
Preliminary advice from SEP (if any)				
Objective 1	Head's View	Governors' View	SEP's View	Additional comments
Met				
Partially Met				
Not Met				

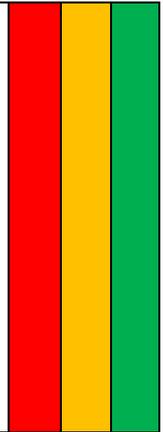
## PART TWO – THE HEADTEACHER’S OVERALL PERFORMANCE

*The headteacher may wish to draw the attention of the SEP and governors to any other factors or features which are relevant to his/her overall performance over the year. Please use the table below and / or the ‘any other information’ table underneath. The governors may wish to use one or more of the national standards below to help guide their consideration of the overall performance of the headteacher. The headteacher may want to use the standards to support self-appraisal and initial thoughts about new objectives for the coming year.*

<b>Optional tool for the review of achievements including impact of CPD with reference to National Standards of Excellence for Headteachers.</b>		
<b>National Standards for Headteachers</b>	<b>Headteacher self-evaluation of impact in this area - if you wish to you can use the ragging system below</b>	
<b>Qualities and knowledge</b>	<ol style="list-style-type: none"> <li>1. Hold and articulate clear values and moral purpose, focused on providing a world class education for the pupils they serve.</li> <li>2. Demonstrate optimistic personal behaviour, positive relationships and attitudes towards their pupils and staff, and towards parents, governors and members of the local community.</li> <li>3. Lead by example-with integrity, creativity, resilience, and clarity- drawing on their own scholarship, expertise and skills, and that of those around them.</li> <li>4. Sustain wide, current knowledge and understanding of education and school systems locally, nationally and globally, and pursue continuous professional development.</li> <li>5. Work with political and financial astuteness, within a clear set of principles centred on the school’s vision, ably translating local and national policy into the school’s context.</li> <li>6. Communicate compellingly the school’s vision and drive the strategic leadership, empowering all pupils and staff to excel.</li> </ol>	
<b>Pupils and staff</b>	<ol style="list-style-type: none"> <li>1. Demand ambitious standards for all pupils, overcoming disadvantage and advancing equality, instilling a strong sense of accountability in staff for the impact of their work on pupils’ outcomes.</li> <li>2. Secure excellent teaching through an analytical understanding of how pupils learn and of the core features of successful classroom practice and curriculum design, leading to rich curriculum opportunities and pupils’ well-being.</li> <li>3. Establish an educational culture of ‘open classrooms’ as a basis for sharing best practice within and between schools, drawing on and conducting relevant research and robust data analysis.</li> <li>4. Create an ethos within which all staff are motivated and supported to develop their own skills and subject knowledge, and to support each other.</li> <li>5. Identify emerging talents, coaching current and aspiring leaders in a climate where excellence is the standard, leading to clear succession planning.</li> <li>6. Hold all staff to account for their professional conduct and practice.</li> </ol>	
<b>Systems and process</b>	<ol style="list-style-type: none"> <li>1. Ensure that the school’s systems, organisation and processes are well considered, efficient and fit for purpose, upholding the principles of transparency, integrity and probity.</li> <li>2. Provide a safe, calm and well-ordered environment for all pupils and staff, focused on safeguarding pupils and developing their exemplary behaviour in school and in the wider society.</li> <li>3. Establish rigorous, fair and transparent systems and measures for managing the performance of all staff, addressing any under-performance, supporting staff to improve and valuing excellent practice.</li> <li>4. Welcome strong governance and actively support the governing board to understand its role and deliver its functions effectively – in particular its functions to set school strategy and hold the headteacher to account for pupil, staff and financial performance.</li> <li>5. Exercise strategic, curriculum-led financial planning to ensure the equitable deployment of budgets and resources, in the best interests of pupils’ achievements and the school’s sustainability.</li> <li>6. Distribute leadership throughout the organisation, forging teams of colleagues who have distinct roles and responsibilities and hold each other to account for their decision making.</li> </ol>	

**The self-improving school system**

1. Create outward-facing schools which work with other schools and organisations - in a climate of mutual challenge - to champion best practice and secure excellent achievements for all pupils.
2. Develop effective relationships with fellow professionals and colleagues in other public services to improve academic and social outcomes for all pupils.
3. Challenge educational orthodoxies in the best interests of achieving excellence, harnessing the findings of well evidenced research to frame self-regulating and self-improving schools.
4. Shape the current and future quality of the teaching profession through high quality training and sustained professional development for all staff.
5. Model entrepreneurial and innovative approaches to school improvement, leadership and governance, confident of the vital contribution of internal and external accountability.
6. Inspire and influence others - within and beyond schools - to believe in the fundamental importance of education in young people's lives and to promote the value of education.



**Any other information the headteacher would like to bring to the notice of governors**

**SEP comments (if applicable)**

**Governors Comments – (to be completed by the SEP after formal review meeting)**

**PART THREE – THE HEADTEACHER’S REFLECTIONS ON OBJECTIVES FOR 2020-21**

*The headteacher is invited to make some initial suggestions about the nature of objectives for the forthcoming year.*

	<b>Initial suggestions of possible objectives for the forthcoming year</b>
<b>Leadership and Management</b>	
<b>Pupil Progress</b>	
<b>Wellbeing</b>	

## PART FOUR – AGREED OBJECTIVES FOR THE YEAR 2020/21

*This part of the form is a record of the decisions reached as a result of the conversation between the headteacher and the governors, facilitated by the SEP.*

<b>Leadership and Management Objective:</b>				
<b>Success criteria:</b>				
<b>Actions and or interim milestones:</b>				
<b>Evidence base:</b>				
<b>Interim review date:</b>	<b>Head's view of progress</b>	<b>Governors' views of progress</b>	<b>Evidence of impact</b>	<b>Next Steps</b>

<b>Pupil Progress Objective:</b>				
<b>Success criteria:</b>				
<b>Actions and or interim milestones:</b>				
<b>Evidence base:</b>				
<b>Interim review date:</b>	<b>Head's view of progress</b>	<b>Governors' views of progress</b>	<b>Evidence of impact</b>	<b>Next Steps</b>

<b>Wellbeing Objective: Could link to Professional Development</b>				
<b>Success criteria:</b>				
<b>Actions and or interim milestones:</b>				
<b>Evidence base:</b>				
<b>Interim review date:</b>	<b>Head's view of progress</b>	<b>Governors' views of progress</b>	<b>Evidence of impact</b>	<b>Next Steps</b>

<b>Any other additional monitoring arrangements</b>

**ANNEX TO THE PERFORMANCE MANAGEMENT STATEMENT**

*This part of the form is a record of the agreed developmental/training needs for the coming year*

<b>Training and developmental needs for the coming year</b>	<b>Ways of meeting the agreed needs</b>

Signatures:

\_\_\_\_\_ (Headteacher)

\_\_\_\_\_ (for Governors)

**Headteacher Appraisal**  
**An 'aide-memoire' for Governor Reviewers during the process**

**Before the meetings**



- Ensure the Performance Management/Appraisal Policy and Staff Pay Policy are reviewed and the criteria for pay progression is agreed and understood.
- Agree date and times with the school effectiveness Partner (SEP), agree who is writing the draft Statement and provide the SEP with a copy of the Head's previous objectives.
- Share with the SEP the names and roles of the reviewers.
- Finalise with the Head timings for the meetings between Head & SEP governors & SEP and the session for all three parties

**During the meetings**



- A governor should be asked to take notes of the key decisions and action agreed.
- Ask the SEP to clarify their role in the process
- Discuss with the SEP the Head's progress towards meeting the objectives
- With SEP advice and the Head's input, reviewers decide the most important areas for the Head to work on in the next cycle
- Reviewers to agree objectives with the Head, considering how they relate to pupil progress
- Remember objectives, success criteria, actions, evidence, timescales, CPD, work-life balance must be decided and recorded in the performance management statement
- Reviewers will need to decide whether progress by the Head on the last objectives and their overall performance warrants a salary change within the school's ISR
- If appropriate, reviewers need to make a pay recommendation

**After the meetings**



- Reviewers or SEP to draft the review and performance management statement and pass a copy to the Head (within 5 days of the meeting)
- The Head can make comments on the form and return it, signed, to the reviewers (within 10 days of the meeting)
- The final, signed copy should go to the Chair of Governors. The Statement remains confidential.
- Relevant governors will need to know about any pay recommendation in order to approve any salary change. Those making pay decisions should have access to the PM statement in order to make that decision
- Governors then inform their HR and payroll provider about any salary change. Information should clarify the school's ISR, the Head's current salary and any salary recommendation including date of implementation.
- A copy of the Head's review and performance management statement needs to be retained securely at the school for a minimum of 6 years.