

Headteacher Appraisal

Guidance to support best practice

June 2023



Introduction

This purpose of this document is to give trustees and governors a summary of their potential involvement in the performance management of the headteacher. It has been written following National Governance Association (NGA) guidance and examples of best practice from research into multi academy trusts. From a trustee / governor's point of view, there are strong links between the duty to promote high standards and the part played by the performance management process in raising standards. When implemented effectively, performance management engages staff in their own development, it is motivating, it drives success and school improvement. Appraisal regulations for academies require schools to have an Appraisal Policy for teachers and a policy which covers all staff, which also deals with capability. There are performance related pay arrangements that require a pay panel to make decisions of teachers' and leaders' pay progression subject to the outcomes of appraisal reviews.

The process in groups of schools (such as MATs) is different to that of stand-alone maintained schools and stand-alone academies. In MATs, executive leaders (such as the CEO) often lead the appraisal with support/input from those governing.

National Governance Association advice suggests that executive leaders should line-manage headteachers/heads of school within a trust, and that those governing should be able to feed into the process proportionately. There is no statutory duty for local governing boards to appoint an external adviser. For the Blue Kite Academy Trust, the CEO is responsible and accountable for headteacher appraisal; they fulfil the role of external advisor and work alongside one or two members of the local governing body.

The headteacher performance appraisal cycle:

1. Identify strengths and areas for development with clear links to the national standards of excellence for headteachers and school improvement.
<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>
2. Agree priorities and set objectives linked to the individual and school development plan.
3. Conduct interim reviews and implement professional development strategies.
4. Conduct performance reviews, evaluate outcomes and make recommendations for pay progression where appropriate.

It is important to recognise that there are two distinct aspects to the Trust Board's 'role in trust-wide performance management.

1. The Trust Board establishes a trust-wide Appraisal Policy for leadership and teaching staff, with a related Pay Policy and must ensure that these policies are being implemented effectively and fairly.

The headteacher is responsible for the performance management of all teaching staff and reports to the school's local governing body on the effectiveness of this process.

The School Teachers Pay and Conditions Document (STPCD) is reviewed annually. It sets the pay arrangements and will form the basis for schools' pay policies. All pay progression

is subject to successful performance appraisal reviews. (Academies do not have to follow the STPCD but the Blue Kite Academy Trust does.)

2. The Trust Board ensures consistency and fairness of the appraisal process. The information below focuses on the Trust Board's role as well as the Local Governing Body's role in the annual appraisal of the headteacher.

One or two governors (referred to as performance management governors) are appointed to carry out the appraisal of the headteacher supported by the CEO. (Where CEO is used throughout this document, it can be the case that, if agreed, the DCEO or another Senior Member of the trust's Strategic Education Board may undertake this role in the CEO's place).

Checklist:

1. Ensure that the scheme of delegation sets out a framework identifying performance management governors and clearly states who has the delegated power to review the pay of the headteacher, senior leaders and teaching staff.
2. Ensure that there is an agreed Pay Policy and Appraisal Policy in place which is line with the latest STPCD before the annual appraisal meeting in the autumn.
3. Each Local Governing Body appoints 1 or 2 governors as performance management governors to conduct the appraisal of the headteacher alongside the CEO.
4. Early in the autumn term, the CEO ensures that the appointed governors are available to work with them in conducting the annual appraisal meeting of the headteacher, assessing progress against previous objectives and setting new performance objectives. A mid-cycle review date should be agreed along with a date for the next annual appraisal meeting.
5. The extent to which the CEO will support the drafting and completion of the review statements should be agreed. (It is normal practice within BKAT for the CEO to complete the statements).
6. Performance management governors ensure there is ongoing monitoring of the headteacher's progress during the year.
7. It is recommended that the governors and CEO ask the headteacher to submit an optional evaluation summary to inform the review of performance in addition to interim mid-cycle reports.
8. On the headteacher appraisal day, the CEO should meet initially with the headteacher and separately with the performance management governors to discuss the headteacher's performance and targets in the context of whole school performance. This is in preparation for the annual appraisal meeting.

9. At the annual appraisal meeting of the headteacher, governors and CEO, the CEO is expected to lead the meeting and to nominate a note taker. There should be no surprises at this meeting. The headteacher will give a presentation about the previous year's targets and the extent to which objectives have been met.
10. The CEO and performance management governors will consider the evidence presented by the headteacher and determine whether the headteacher has met their objectives.
11. The CEO and performance management governors will explore, with the headteacher, possible objectives for the next cycle before agreeing objectives for the coming year and setting both a mid-cycle review date and an annual appraisal date for the next year.
12. The CEO and performance management governors complete an appraisal report which includes: details of previous objectives; an assessment of performance against relevant standards and objectives; an assessment of professional development needs; recommendations on pay progression; objectives for the year ahead. The draft appraisal report must be returned to the headteacher for comment.
13. If the headteacher is unhappy with any aspects of the appraisal process then they should raise it initially with the performance management governors and the CEO who will try to reach agreement informally. If the matter is not resolved to the headteacher's satisfaction then they should raise their grievance through 1) the Appeal Procedure set out in the Schools Pay Policy if their complaint is in relation to pay progression or 2) through the school's Grievance Procedure for other complaints
14. The appraisal report will then be passed on to the Trust's Pay Panel for review.
15. The Pay Panel, will consider recommendations for pay review in accordance with the trust's Pay Policy.
16. Headteacher pay awards should be made in the context of the trust's pay policy and take into consideration the headteacher's pay range which is related to the size and context of the school. (The Pay Panel will take into consideration whether the headteacher has met their objectives and are eligible for pay review.)
17. It is recommended that the annual appraisal (performance management) and pay review of the headteacher is **completed before 31st December** in order for pay decisions to be implemented retrospectively for 1st September.

Trustees' and Governors' Roles and Processes

Appraisal and Pay Policies:

The Trust Board must :

- Establish and review pay and appraisal policies/documents which:
 - set out the basis on which leadership and teachers' pay will be determined
 - describe how the appraisal arrangements will work including classroom observation protocol; and
 - state procedures for appeals
- review policies annually and seek assurance that revisions have been agreed with trade unions
- ensure consistency and fairness of the appraisal process. (Trustees will receive an anonymous selection of objectives to see that they meet the school's development plan and are sufficiently realistic and challenging).

The Local Governing Body:

- Appoints one or two governors as performance management governors to take the role of annual appraisal for the headteacher. It is advisable that the chair of the LGB is one of these governors. Performance management governors must not be employees of the school.
- Ensures that Appraisal / Performance Management and Pay Policies are working effectively within their school.

Performance Management Governors:

- Receive and/or commission evidence to be collected relating to the headteacher's Performance. (Appendix 1)
- Work with the CEO when agreeing objectives and reviewing the headteacher's performance .
- Together with the CEO make decisions on pay.
- Monitor progress towards targets during the year.
- Undertake training in this role.

CEO:

- Provides advice and support to the performance management governors on the appraisal of the headteacher.
- Meets separately with the headteacher, and performance management governors to discuss the headteacher's performance review ahead of the formal review meeting.
- Meets with the headteacher and the performance management governors and leads the formal review.
- Drafts the headteacher's appraisal report. (Appendix 2)
- Makes recommendations concerning salary progression to the Trust Pay Panel.
- May provide other consultancy services for the school e.g. as a school improvement adviser.

Setting Objectives

Objectives must be CSMART;

C Challenging S Specific M Measurable A Attainable R Relevant T Time Bound

Objectives help improve performance because they:

- create a common understanding of priorities
- are motivational by providing something to aim for
- indicate personal responsibility
- aid clear communication and promote commitment
- provide a way of generating action and monitoring performance improvement
- help Headteachers and teachers to prioritise and focus on improvement
- Identify continuing professional development opportunities

Headteacher's Appraisal Report:

Is drafted by the CEO and includes:

- Evidence of progression towards objectives set the previous year
- Agreed objectives for next year
- Any recommendations for pay progression
- Must be drafted and passed to the Headteacher for comment
- Is subject to the outcome of any appeal
- Shall be completed before 31st December (recommended)
- Is copied to the trust board pay panel that is responsible for making decisions on pay.

Headteacher:

- Presents evidence, evaluates his or her own performance and agrees objectives with the performance management governors and the CEO
- Is strongly recommended to carry out their own self-review of performance (this is not a requirement)
- Ensures all teachers have their performance and pay reviewed by 31st October
- Reports annually to governors on the effectiveness of performance management in the school

Trust Board Pay Panel:

- Includes at least 3 trustees
- Considers recommendations on pay for headteachers

Factors to take into account when making a recommendation about headteacher's pay

- Have the Headteacher's National Standards of Excellence been used to inform the review?
- Is there evidence of sustained high quality of overall performance?
- Is there evidence of achievement of specific objectives and were these appropriately challenging to bring about *significant* school improvement?

Common Questions

What happens when a new headteacher is appointed or joins BKAT mid-cycle?

The CEO determines the length of the first cycle with a view to bringing it in line with the school's annual cycle. For a new headteacher, targets will be agreed, for a headteacher new to BKAT any existing targets will be reviewed.

How long should records relating to performance management be kept?

The headteacher's planning and review statement should be retained for 6 years

What factors should be considered when agreeing objectives for the headteacher?

Objectives should take account of:

- *key priorities for the school*
- *National Standards of Excellence for Headteachers*
- *the headteacher's personal aspirations and work-life balance*
- *the school's leadership and management*
- *pupils' progress*
- *the need for objectives or key milestones to be met within a year*
- *Any relevant external factors eg. COVID-19 pandemic*

Sources of further information:

<https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers>

Appendix 1

REVIEW OF PROGRESS OF 2022/23

Name of headteacher

Name of school

Objective 1

Progress and evidence of impact

Outcome of review discussion

Objective 2

Progress and evidence of impact

Outcome of review discussion

Objective 3
Progress and evidence of impact
Outcome of review discussion

THE REVIEW OF PROGRESS TOWARDS 2022 - 2023 OBJECTIVES
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Summary of the outcomes in the review of the headteacher's progress towards objectives in 2022/ 2023, noting main achievements.

Objectives	Achieved	Partially achieved	Not attempted/not achieved	Notes
1				
2				
3				

Work /life balance

Development and training undergone

OVERALL PERFORMANCE

Appraisers' comments and overall performance

Headteacher's comments

OBJECTIVE SETTING FOR 2023/24

Objective 1
Strategic actions and milestones
Success criteria
Sources of evidence to monitor progress and evaluate success

Objective 2
Strategic actions and milestones
Success criteria
Sources of evidence to monitor progress and evaluate success

Objective 3
Strategic actions and milestones

Success criteria
Sources of evidence to monitor progress and evaluate success

Development and training needs 2023/24

Monitoring

Signature of headteacher:	
Date:	

RECOMMENDATION TO THE PAY PANEL
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The Appraisers recommend:

That the pay panel agree incremental progression within the agreed leadership range (where there is movement)

Signed: _____ (CEO)

Signed: _____ (Headteacher)

Appendix 2

MID-YEAR REVIEW 2023/24

Objectives	Progress to date	On target Y/N	Support required Y/N
Objective 1			
Objective 2			
Objective 3			

Signed (Headteacher)

Signed (CEO)

Date

Department for Education National Standards of Excellence for Headteachers

The CEO, governors and headteacher will find it helpful to refer to the [National Standards of Excellence for Headteachers](#).

These standards can be used to inform the appraisal of Headteachers by serving as a background document to assist the performance management, rather than as a set of standards against which the Headteacher's performance can be assessed in an appraisal process.

For example, the standards may be used to inform objective setting. The Headteacher standards should not be used as 'cut and paste' objectives. Objectives must be tailored so that they are relevant to the context of the individual school and Headteacher. It is good practice for the CEO/governors to set Headteachers specific school-related objectives and targets linked to their school or schools' priorities on an annual basis. The CEO/governors should use the standards aspirationally and developmentally. Actions for the Headteacher can be agreed with these aspirational standards in mind, but will need to be in the context of where the school is now in a certain area and what is needed to move it to the next step of improvement.

The CEO/governors can use the Headteacher standards in appraisal to frame a broad overview of leadership in the specific context of the school. The standards may further serve as a starting point for the identification of specific objectives for the next stage of the school's continuous improvement journey, as well as to identify areas of development where the Headteacher requires support and improvement.

The CEO/governors should work with Headteachers to understand what the school needs in order to progress. They should consider what needs to be done to support the Headteacher to implement the school development plan and support colleagues.