

# The Governors' Role in Headteacher Performance Management

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# Etiquette



It is good to see colleagues but you can turn your **camera** off if you wish.



We will all remain on mute unless we have a question we would like to ask.

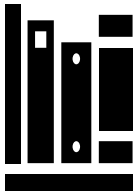


If we wish to ask a question we will either use the raise hand function and/or use the chat. Please also use the chat facility to make any useful comments

# Session Objectives



**Aims: To provide step by step guide into the understanding the Performance Management Cycle. The session will:**



Provide an overview of governors' responsibilities



The role of the headteacher's performance governors' management panel



The role of the external adviser



How performance management links to decisions on pay

# 2012 Regulations

The governing board must...

- a) Inform the headteacher of the standards against which the headteacher's performance will be assessed, AND
- b) objectives for the headteacher in respect of the appraisal period.

## General Requirements:

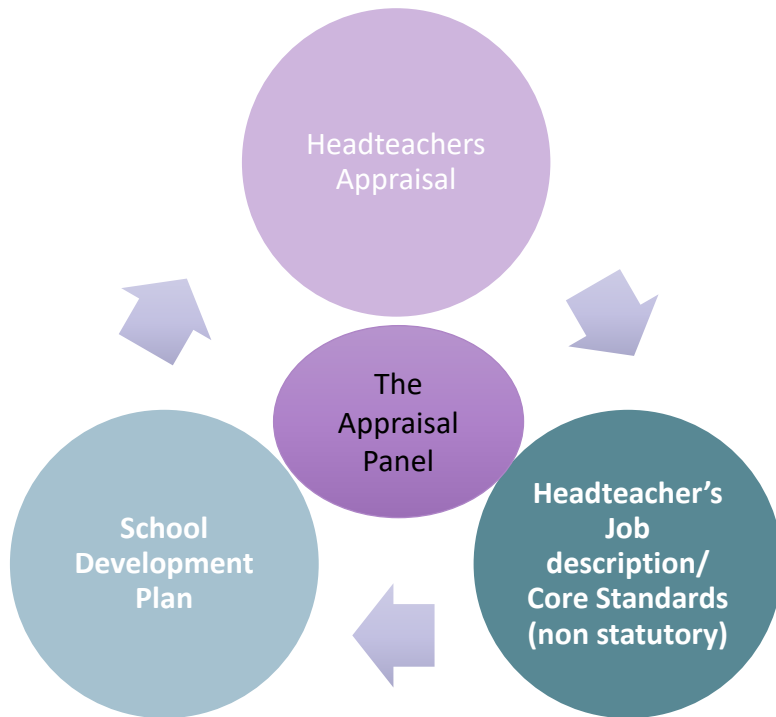
- A Governing board (GB) must have a written appraisal policy for teachers (inc. headteacher)
- GB may appoint an external adviser for head's appraisal review.
- Objectives to contribute to improving education of pupils
- Local Authority Schools must have an annual appraisal process
- Teachers must have appraisal report setting out:
  - an assessment of their performance
  - an assessment of their training and developing needs
  - recommendation on pay.
- These are set out in regulation for maintained schools and considered good practice in academies.
- In schools it is important that appraisal arrangements are clearly outlined in an annual updated scheme of delegation

## **In practice, boards will ensure:**

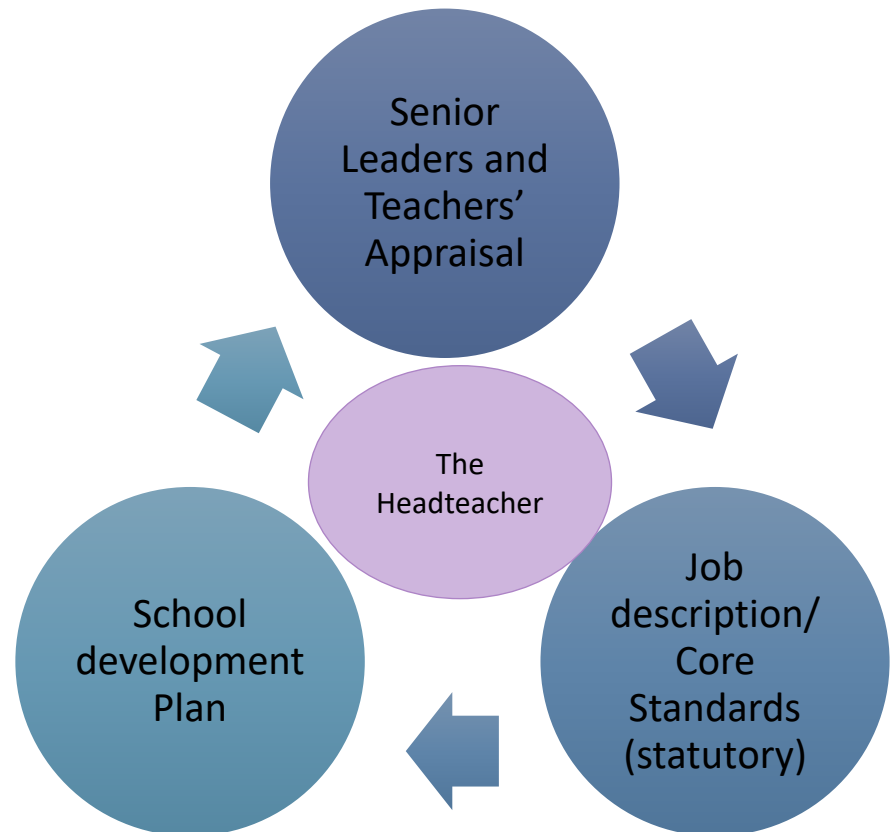
- Satisfy themselves that the external adviser has the skills, experience and objectivity to provide them with advice and support;
- Consider whether to delegate the headteacher's appraisal to a sub-group;
- Satisfy themselves that the headteacher's objectives are SMART;
- Decide which standards they will use to assess the headteacher's performance. They must assess headteachers' performance against the Teachers' Standards and may also wish to use the National Standards for Headteachers;
- Decide what arrangements to make for observing the headteacher's performance, including any arrangements for classroom observation where headteachers teach; and
- Satisfy themselves that appraisal evidence informs other decisions, for example, on professional development and pay

# The Governing Board in relation to appraisal

## The Governing Board



## The Headteacher



## **National Governance Association (NGA) recommendations on governor training**

- All new panel members should receive some form of training.
- This should be proportionate to each panel members experience.
- Less experienced governors should receive some formal training
- More experienced members may simply require in-house coaching session which is led by external adviser
- All training must be well ahead of appraisal meeting to allow governors to have asked the right questions and make informed preparations.



# Step 1:

## The Performance Management/Appraisal Policy

- Ensure your school has a Performance Management/Appraisal Policy and Pay Policy
- Maintained schools are required to have this policy

# Governing board's role

The governing board needs to determine the process by which the headteacher's performance will be assessed. This should include:

- The dates of the annual cycle (i.e. beginning and end),
- By what date the annual appraisal will be carried out after the end of the cycle,
- Who (and how many people) will conduct the performance management,
- What rights of appeal there will be against: a) any objectives set and b) the appraisal outcomes
- How many if any interim reviews there will be. NGA recommends that at least one formal interim review is held half-way through the school

# Step 2:

**Determining the appraisal panel should be agreed at a full governing board meeting**

- How many?
- Who?
- Relevant experience.
- Previous training.
- Previous role on appraisal panel.
- Appointment of an external adviser

# Appraisal panel

Appraisal panel members must have a good understanding of the relevant data. This includes:

1. The headteacher's leadership of the school in the context of the school's performance overall
2. The headteacher's personal development.

# The External Adviser

The role of the adviser:

- Advise the governing board on the legal process
- Help governors to interpret the data
- Ensure other performance data is presented
- Advise on how to frame objectives for the coming year.
- The adviser will often also complete the necessary paperwork thus reducing the administrative load for the panel members.

# Further considerations on external adviser

- Who chooses?
- How well do they know the school?
- Relationship with the Head?
- Contributes to professional dialogue
- Adviser to the panel

“I hope my role is a facilitator... I’m there to facilitate the discussion and ensure the targets set are appropriate. They’re appropriately challenging and so on. But also success criteria are appropriate. I’m a moderator, I suppose of the targets and success criteria, and to guide the discussion.” NGA

## **Step 3:**

Monitoring performance  
throughout the cycle

# Evidence

## Relating to prior year objectives

- Headteacher self evaluation form (additional hand out)
- 360° evidence
- Appropriate pupil progress data (previous year up to Spring 1)
- Parental feedback
- Governor visits
- External reviews – Local Authority/ Trust
- Financial Audits
- Headteacher termly reports
- Staff appraisals
  - Staff surveys
  - Staff absence data
  - Staff turnover
  - Feedback from teacher exit interviews
- FFT data
- (Primaries) KS2 performance in core subjects
- (Secondaries) Progress 8 and attainment 8 data
- (For special schools) Progress against appropriate measures.
- Minutes FGB meetings

## Relating to current year objectives

- Headteacher's job description
- School Development Plan
- Whole school objectives
- School Self Evaluation form
- Appropriate pupil progress data (current year)
- The effective use of financial resources relating to the school's budget

## Other sources of information that may be useful

- External reports
- Recent Ofsted report
- Any other contextual information
- Additional evidence eg Investors in People, Quality marks – Science, PE, Healthy Eating , Inclusion , subject specific
  - Pupil and parent surveys and focus groups
  - Anonymised reports from pastoral staff
  - Pupil absence data
  - School visits to see implementation of behaviour policy.
  - Recognition and tracking of positive behaviour through school reward schemes
  - Number of behaviour management incidents
  - Number of exclusions



# Annual Appraisal and Covid-19

- The DfE's guidance is that maintained schools must continue to adhere to School Teachers Pay and Conditions (STPCD)
- The expectation is that schools use their discretion and take pragmatic steps consistent with the Education (School Teachers' Appraisal -2012) and the school's Appraisal Policy to adapt performance management assessment in the current circumstances.
- This means that there is an expectation to assess the teachers performance prior to closure, adjusting if necessary, for expected trajectory had there been no closures.
- Schools and associated bodies should be cautious that this approach does not disadvantage anyone who may not have had the opportunity to fully demonstrate their ability to meet their objectives.

# Annual Appraisal and Covid-19 - other considerations

- Applications for teachers to move through Upper Pay Range
- In relation to support staff appraisals and performance management should be carried out in accordance with contract
- Performance related concerns (capability) should have been placed on hold.
- Equality Act Considerations – still applies
- NQTs – Headteachers and appropriate bodies should continue to judge whether an NQT has met the Teacher's Standards.
- Absence – DfE guidance makes it clear that 30-day threshold for absences will continue to apply if the absences are non covid related. [DfE guidance Covid -19 and NQT](#)

# Personal Development

Fulfilment of their role in line with their contract of employment and using guidance from National Standards of Excellence for Headteachers

- Basic professional requirements of the role,
- Performance development
- Impact of training:
  - Evidence of increased productivity
  - Fewer grievances,
  - Higher staff morale

# No surprises

- Every governing board meeting is an opportunity to address the headteacher's performance
- Regular, informal 1:1 meeting with the Chair of Governors or Chair of Appraisal Committee
- Mid-year meeting or termly meetings
- Report back to Appraisal Committee but remains confidential
- Under performance addressed immediately

## **Step 4:**

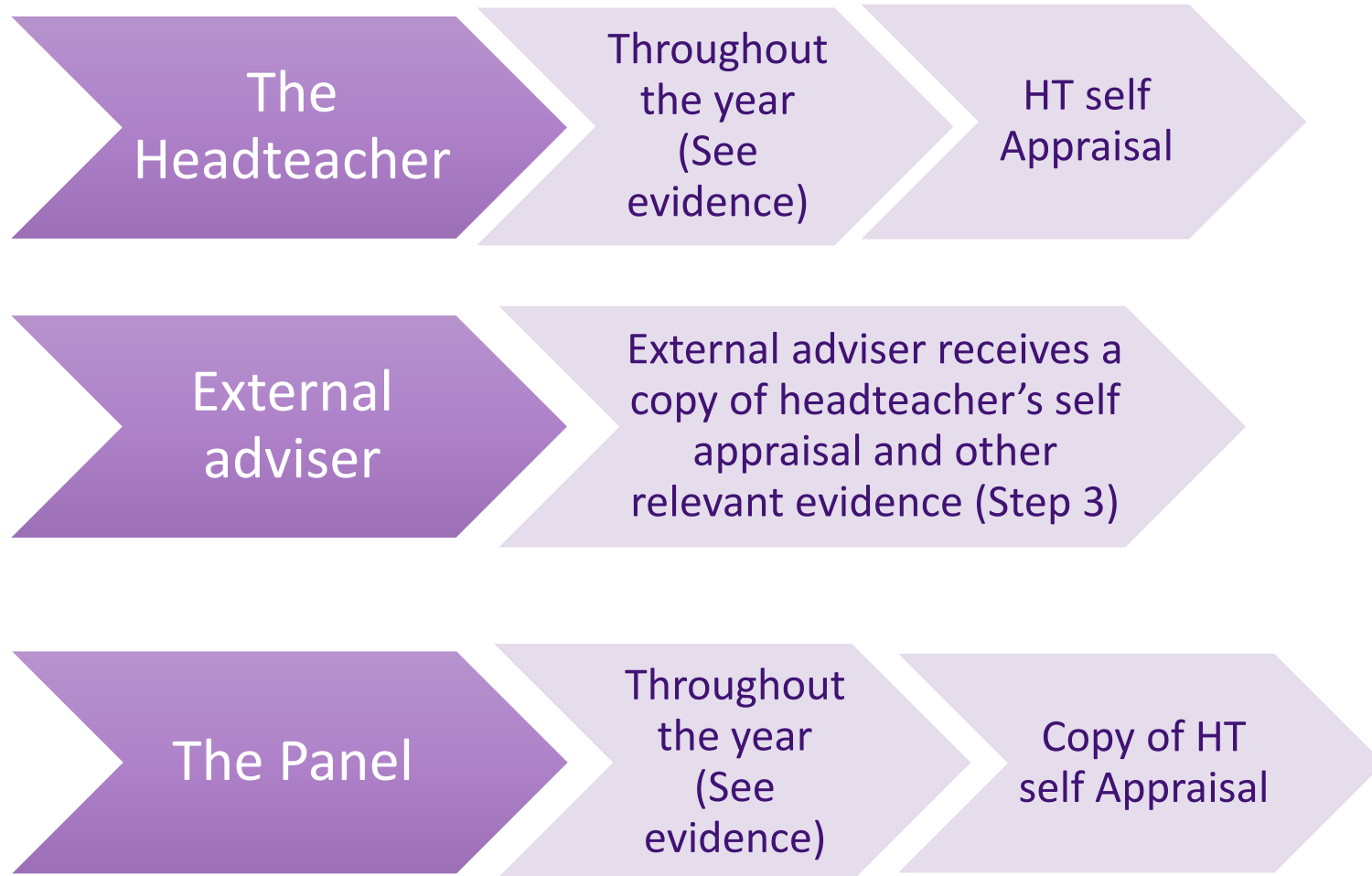
The formal appraisal meeting

# The formal appraisal meeting

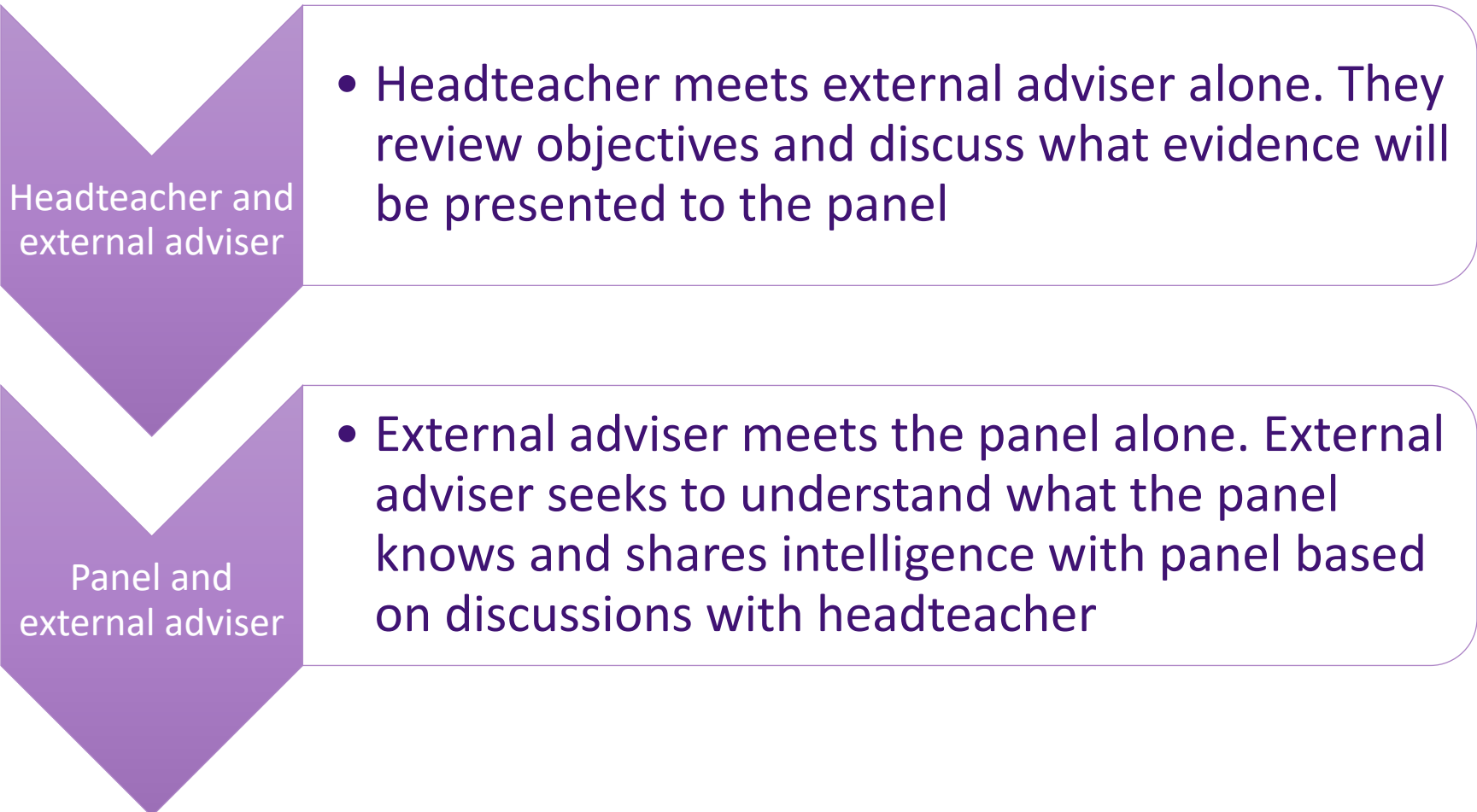
## Agree dates for the appraisal meeting:

- Ensure there is sufficient time for everyone to fill in the correct paperwork, it is imperative to plan ahead;
- The general process is for the external adviser to meet separately with the senior executive leader and the panel before they come together in the formal appraisal meeting (see step 2). It is up to the panel to determine whether this process takes place on the same day or on separate days
- If possible the dates should be agreed in the summer term so they are firmly in diaries for the autumn term. As a minimum 14 days' notice should be provided of the formal appraisal meeting
- Make sure appropriate rooms have been booked in which to hold the meetings

# Pre-meeting preparation



## Preliminary meetings



Headteacher and  
external adviser


- Headteacher meets external adviser alone. They review objectives and discuss what evidence will be presented to the panel

Panel and  
external adviser

- External adviser meets the panel alone. External adviser seeks to understand what the panel knows and shares intelligence with panel based on discussions with headteacher



# The appraisal meeting



External adviser,  
panel and  
headteacher

- External adviser, panel and headteacher meet. A decision is made about whether the headteacher has met their previous objectives and what the objectives for next year are going to be.

# The Appraisal Meeting: Agenda

Meeting based on evidence gathered over the year

## **The Panel**

- Asks 'open' questions about performance school and own performance

## **The Headteacher**

- Provides answers on, 'What has gone well?' and 'What would be better if?'

## **Possible questions from the panel**

- What are the key areas of progress that the school has made over the last year?
- How did you get on with last year's objectives? Do you feel they were manageable?
- What do you think would improve the performance of the school?
- How do you think the pupils/parents/staff perceive the school?

# Setting objectives

Objectives are discussed at the meeting with the Headteacher.

- When setting objectives they should be S.M.A.R.T (specific, measurable, achievable, relevant, time bound).
- Objectives should be precise in their wording and refer to a particular thing that needs improving
- The governing board and the Headteacher should be able to quantitatively measure how much improvement is being made.
- Targets should be realistic and have beneficial implications for the pupils of the school
- There should be a deadline for their achievement (in time for the next formal appraisal meeting for example)

# Step 5:

Follow-up report

## Follow-up report: After the meeting

- A written report of the discussion and agreed objectives should be circulated to the Headteacher and panel members.
- It is common practice for this to be completed by the external adviser (**this should be agreed when the adviser is appointed**).

# The report

A summary of the discussion at the meeting.

For maintained schools, regulations require that the report contains:

- An assessment of the headteacher's performance from the previous year objectives and success criteria set;
- The headteacher's professional development needs and actions that will be taken to address them;
- A recommendation about the headteacher's pay.

# Step 6

Appeals

# Appeals

- The Headteacher disagrees with any aspect of the appraisal report or objectives for the coming year, they can make an appeal.
- The appraisal policy should determine the procedure to make an appeal.
- A nominated member who has not been on appraisal panel will complete the appeal
  - possibly the vice chair.
- The nominated member should review the appraisal documentation, meet with the headteacher, panel and preferably the external adviser.
- The nominated governor will review the evidence and the report and will either uphold or reject the claim.
- If the appeal is upheld, the appraisal report would have to be amended accordingly.



# Step 7

Making a pay recommendation

# The Pay Recommendation

- The appraisal panel make a pay recommendation in line with the school's pay policy
- The panel must decide whether the headteacher's pay should remain the same, or if their performance warrants an increase in pay.
- The school's pay policy must make clear the grounds on which a recommendation for a pay increase can be made.
- The panel's recommendation, and their reasons for making it, should be made in a written document and forwarded to the committee responsible for pay decisions.
- The recommendation gives an overview of the outcome of the appraisal and if objectives have been met, as well as professional development that has been achieved.

# Resources

## Relevant Legislation

- Education (School Teachers' Appraisal) Regulations 2012 (for maintained schools)

## Further Information

- Acas - [Handout 2](#) Managing Performance for Small firms  
page 15 provides SMART objectives
- Acas - [Handout 3](#) -Tips for setting objectives
- Department for Education's - [Handout 4](#) - Teacher appraisal and capability model policy
- National Governors Association - [Handout 5](#) Taking Headteacher Appraisal Seriously
- NAS/UWT – [Handout 6](#) Taking Control of your Performance Management Seriously
- Headteacher appraisal – [Handout 7](#) Self- evaluation documents



Questions?





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