The statutory requirements for the review of headteachers’ performance for maintained schools are set out in the Education (School Teachers’ Appraisal) (England) Regulations 2012. The Governance Handbook explains that academies can determine their own appraisal arrangements and ‘may adopt the requirements for maintained schools if they wish.’

The governing board is the legally accountable body for the spending of public money in relation to school budgets. Devon County Council in partnership with Babcock LDP wants to support governing boards in Devon to ensure that their financial decisions are open and transparent, will stand up to scrutiny and demonstrate best practice.

The Ofsted School Inspection Handbook states that “Inspectors will consider whether governors performance manage the headteacher rigorously”.

The Governance Consultancy Team wants to ensure that by having access to information and training, governors will effectively fulfil their statutory responsibilities with regard to headteacher appraisal with confidence.

This publication summarises the regulations and Department for Education (DfE) guidance for headteacher appraisal and review of salary and offers guidance on good practice.

The publication is to complement and not replace the need for governors with responsibility for headteacher appraisal to attend a Governance Consultancy training session.

Details are available online at www.babcock-education.co.uk/ldp/cpd
Effective headteacher appraisal should:

- recognise that headteacher performance impacts directly on school improvement and children’s education;
- be a supportive and motivating positive experience where the headteacher receives specific and constructive feedback;
- set objectives linked to the improvement of children’s education;
- enable the improvement of professional practice and identify the headteacher’s professional development needs for the next 12 months;
- recognise the need to consider the headteacher’s career aspirations;
- be part of an ongoing professional dialogue between the headteacher and governors;
- remain a confidential process unless the headteacher decides to share objectives with a wider audience;
- reward sustained high quality performance with particular regard to leadership, management and pupil progress. Any benefits must be based on robust performance benchmarks, ambitious objectives and targets and be backed by hard evidence.

The governing boards role and responsibilities for headteacher appraisal

- To adopt a written appraisal policy for the school which is linked to the school’s pay policy;
- To formally delegate the responsibility for the headteacher’s appraisal to two or three governors who are representative of the governing board (Governors employed at the school are ineligible. VA and VC schools need to include at least one Foundation governor);
- To ensure that governor appraisers are trained for the role;
- To consider succession planning of governor appraisers to ensure some continuity of the appraisal process from one year to the next;
- To advise the headteacher of the standards against which the performance will be assessed;
- To ensure that appraisal is firmly linked to the school improvement, development or action plan;
- With the support of an appropriately skilled and experienced external advisor, to plan and conduct the headteacher’s appraisal;
- To ensure that the headteacher is enabled to achieve a satisfactory work life balance;
- To identify a budget allocation to support the headteacher’s development needs and any potential pay progression;
- To make a recommendation on any pay progression for the headteacher to the Pay and Performance Committee;
- To make any recommendation, if appropriate, on temporary payments for the headteacher to the Pay and Performance committee;
- To provide a written report of the appraisal for the headteacher ‘as soon as practicable’;
- In the case of an appeal, to follow the process in the school’s Pay Policy.

Any recommendation on pay must not be considered at a meeting of the full governing board to ensure that any future process (i.e. possible appeal) is not compromised. All pay recommendations must be considered by the governing board committee with delegated responsibility for pay decisions, usually the Pay and Performance Committee.

The appraisal meeting

Preparation before the meeting

- Advise the headteacher of the standards that the governors intend to use to appraise them and become familiar with these standards. The National Standards of Excellence for Headteachers can be found at https://www.gov.uk/government/publications/national-standards-of-excellence-for-headteachers;
- Discuss what the external advisor’s contract will include, (e.g. preparing and planning for the appraisal process; assisting at the appraisal meeting; note-taking and report writing);
• Appoint an appropriately skilled and experienced external advisor. Advice on locating an appropriate external advisor is available from Babcock LDP;
• Examine the previous year’s appraisal documentation and objectives;
• Examine the headteacher’s job description;
• Be well-informed of the school’s self-evaluation, the school improvement/development plan and internal and externally validated school data and performance;
• Reflect on the headteacher’s achievements and challenges over the past 12 months;
• Be clear about the school’s development priorities for the next 12 months;
• Be aware of the headteacher’s professional aspirations;
• Research the pay range and current salary of the headteacher;
• Examine any pre-appraisal documentation the headteacher may have completed;
• Meet with the external advisor before the appraisal meeting to consider the format and content of the appraisal meeting and determine who will lead the meeting.

During the formal meeting
• Governors lead the appraisal meeting, supported by the external advisor;
• Reflect on the previous year’s objectives, the headteacher’s achievements and challenges. Ensure the process is linked to school improvement and pupil attainment and progress;
• Discuss future performance and agree the following year’s objectives linked to school improvement and pupil attainment and progress;
• Discuss the learning, development and support needs of the headteacher;
• Discuss the headteacher’s work life balance and dedicated headship time;
• Decide on any recommendation to be made to the Pay and Performance Committee and agree the evidence to be put forward.

Setting Objectives
• DfE regulations state ‘the objectives set must be such that, if they are achieved, they will contribute to improving the education of the pupils at that school, and the implementation of any plan of the governing board designed to improve that school's educational provision and performance.’
• Objectives should be set which are linked to school improvement and pupil achievement and progress. These should be SMART:
  • Specific
  • Measurable
  • Achievable
  • Realistic
  • Time-bound
• Objectives may be revised during the year if the school’s or headteacher’s circumstances change.

Agreeing observation of the headteacher’s practice
Any observation of any part of the headteacher’s role needs to be agreed at the appraisal meeting between all parties. As the headteacher has responsibilities outside the classroom, their performance of these responsibilities can also be observed. All observations need to be carried out in a supportive fashion and appropriate to the development of the headteacher’s performance and linked to school improvement. Feedback will be given as soon as practicable.

Governors must engage external professional support for any observation of the headteacher’s teaching.

Identifying training and development needs
• Support, training, and development needs and how they will be addressed must be decided at the appraisal meeting;
• The headteacher’s professional development should be linked to and support school improvement priorities and contribute to the achievement of appraisal objectives;
• The headteacher should play an active role in their own professional development.
After the meeting

The headteacher will receive a written appraisal report (usually written by the external advisor) as soon as practicable, to include:

- An assessment of the headteacher’s performance against the objectives and the relevant standards during the previous year;
- Details of the objectives for the coming year;
- An assessment of the headteacher’s training and development needs and any action needed to support them;
- A recommendation on pay which will be considered by the appropriate committee, where that is relevant.

The headteacher should be given the opportunity to comment on the report.

Monitoring, review and support

Appraisal meetings should take place more than once a year. The governors and headteacher should engage in at least one Appraisal Review meeting during the academic year to ensure regular professional dialogue. A number of schools have termly review meetings.

The purpose of the Appraisal Review meeting is to:

- Assess the headteacher’s progress towards meeting the objectives, using evidence including data;
- Review the headteacher’s overall work and its impact on school improvement;
- Review the overall quality of teaching in the school;
- Review the achievement of pupils;
- Consider any amendments to the headteacher’s objectives, if circumstances have changed.

The headteacher’s salary review

- The process for determining the remuneration of the headteacher must be fair and transparent.
- Governors should assure themselves that appropriate arrangements for linking appraisal to pay are in place and can be applied consistently, and that pay decisions can be objectively justified.
- The School Teachers Pay and Conditions Document states “sustained high quality of performance having regard to the results of the most recent appraisal carried out … should give the individual an expectation of progression up the pay range”.
- Before any recommendation to the Pay and Performance Committee on headteacher salary progression, appraisal governors need to have conducted research on the headteacher’s current salary position.

A vital document to scrutinise is the ‘School Teachers’ Pay and Conditions Document’ (STPCD). This document is produced annually, usually in the autumn term and can be accessed at https://www.gov.uk/government/publications/school-teachers-pay-and-conditions-2016

Governors should pay particular attention to the section titled ‘Leadership Group Pay’. Governor appraisers are advised when reviewing the salary to consider the following points.

What is your school group size?

All maintained schools are assigned a Group Size ranging from Group 1 to Group 8 based on pupil numbers on roll, numbers of pupils in the different key stages and the number of pupils with statements of special needs. The same formula is applied to federations but there is a modified formula for headteachers of special schools.

The school’s group size can be worked out by following the section on ‘Determination of the school’s headteacher group’ in the School Teachers’ Pay and Conditions Document. Devon HROne can also advise on the school’s group size.
For each school group size there is a pay range, shown in the table below.

<table>
<thead>
<tr>
<th>Group</th>
<th>Pay Range - England and Wales (not London)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>£44,102 – 58,677</td>
</tr>
<tr>
<td>2</td>
<td>£46,335 – 63,147</td>
</tr>
<tr>
<td>3</td>
<td>£49,976 – 67,963</td>
</tr>
<tr>
<td>4</td>
<td>£53,712 – 73,144</td>
</tr>
<tr>
<td>5</td>
<td>£59,264 – 80,671</td>
</tr>
<tr>
<td>6</td>
<td>£63,779 – 88,984</td>
</tr>
<tr>
<td>7</td>
<td>£68,643 – 98,100</td>
</tr>
<tr>
<td>8</td>
<td>£75,708 – 108,283</td>
</tr>
</tbody>
</table>

Correct at September 2016

What is the pay range for the headteacher?

The way that a headteacher’s salary is determined changed on 1 September 2014. The governing board may choose to review the pay of all leadership posts under these arrangements if they determine that this is required to maintain consistency.

The governing board must determine a pay range for the headteacher within the range for the group size of the school. It should take account of the permanent responsibilities of the role, any challenges that are specific to the role and any other relevant considerations. The pay range of the headteacher should not normally exceed the maximum of the school group. Devon HROne can advise on this.

See ‘Determination of leadership pay ranges’ in the School Teachers’ Pay and Conditions Document.

Temporary payments

The governing board can determine that payments be made to a headteacher for clearly temporary responsibilities or duties that are in addition to the post for which their salary has been determined. In each case the governing board must not have taken such responsibilities or duties into account when determining the headteacher’s pay range.

The total sum of temporary payments made to a headteacher in any school year must not exceed 25% of the annual salary. The total of the annual salary and other payments made to the headteacher must not total more than 25% above the maximum of the school group pay range, except in wholly exceptional circumstances and with the agreement of the governing board.

Headteachers may not be awarded payments under the ‘Recruitment and retention incentives and benefits’ section of the STPCD other than a reimbursement of reasonably incurred housing or relocation costs, should the governing board determine to do this. All other recruitment and retention considerations, including non-monetary benefits, must be taken into account when determining the pay range.
Headteachers’ Salary Progression

When a headteacher demonstrates sustained high quality performance with particular regard to leadership, management and pupil progress, and fulfils their objectives, the governor appraisers can recommend an increase within the headteacher’s pay range. This recommendation must be in writing and be part of the written appraisal report. Pay decisions must be clearly attributable to the performance of the headteacher.

Key questions for governors in relation to headteacher appraisal and salary review

1. Are the governor appraisers trained, confident and conversant with the role and their responsibilities?
2. Are the governor appraisers well prepared for the appraisal meeting, with all the relevant information?
3. Has the governing board appointed an appropriate external advisor to support the appraisal?
4. Are the objectives set linked to school improvement and pupil achievement and progress?
5. What support, training and development has been agreed for your headteacher?
6. Has a written appraisal report been completed?
7. Have the governor appraisers agreed a programme to monitor and review the headteacher’s performance throughout the year?
8. Has the headteacher’s salary been reviewed and, if appropriate, a recommendation made?

Regulations

The Education (School Teachers’ Appraisal) (England) Regulations 2012 are specific regulations relating to the role of the governing board to:

- Have a written appraisal policy for all teachers. The appraisal policy should make the links between the appraisal process and the pay policy;
- Ensure the appraisal period is of 12 months duration;
- Appoint an external advisor with the purpose of providing advice and support in relation to the headteacher appraisal;
- Advise the headteacher of the standards against which the performance will be assessed;
- Work with the external advisor to set objectives for the headteacher;
- Ensure objectives are agreed which contribute to the improvement of children’s education and link to the governing board’s development plan designed to improve education provision and performance;
- Make recommendations to the Pay and Performance Committee on headteacher pay progression and any discretionary payments with reference to School Teachers’ Pay & Conditions Document (STPCD);
- Model terms of reference for a pay committee can be found on the Babcock LDP Governor Support website: www.babcock-education.co.uk/ldp.
DfE guidance
The Department for Education offers general guidance on appraisal and the support that should be part of the appraisal process.

- Appraisal will offer a clear and consistent assessment of the overall performance of teachers, including the headteacher, and will support their development within the context of the school’s improvement plan and the standards expected of teachers.
- Appraisal will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.
- Professional standards provide the backdrop to discussions about performance and future development. The headteacher standards define their professional qualities, knowledge, and actions.

Further information is available from:

**Babcock LDP**
Governance Consultancy 01392 287314
ldp-governorsservice@babcockinternational.com

School Improvement Team 01392 287376
(for help with sourcing an external advisor)

School Leadership Support Service 07970 905511

**Devon County Council**
HROne 01392 385555  hrdirect@devon.gov.uk
Devon Payroll Service 01392 382630

**Website and documents**
Department for Education https://www.gov.uk/government/organisations/department-for-education

School Teachers Pay and Conditions document

National Standards for Headteachers – current version available at