

Performance Management 2003

Support guide for governors
and headteachers

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Introduction

Performance management provides a real opportunity to unite the governing body and the whole school workforce in their primary task – securing high standards of education for all their pupils. It sets a framework to achieve school improvement and ensure well-trained, well-motivated staff who feel valued and who reflect on their own practice and how it can be developed and improved.

This guide has been produced to help governing bodies and headteachers make the most of the performance management system in their school. It brings together all the information which governors and headteachers will need to deliver their school-wide responsibilities relating to performance management and provides a step-by-step guide to reviewing the performance of the headteacher.

Throughout the guide there are examples of the types of questions governors and heads can ask to evaluate how well performance management works in their school. But the guide can only point the way to sound procedures. It is the governors and staff who will bring performance management to life and ensure that it is the driving force behind raising standards of pupil achievement.

How the guide can be used

Headteachers can use the guide with all governors to explore what is involved in performance management and to clarify roles, responsibilities and timescales.

All governors, both individually and collectively, can use the guide to become more confident about the responsibilities they share with their colleagues. It will provide information about the tasks they have to perform.

Part 1 will be particularly useful in this context.

The **governors appointed to review the performance of the headteacher** can use the guide as a self-check or aide-mémoire for the specific duties they are required to perform.

Part 2 includes information and guidance on the process and procedures.

Other documents that will assist

It will be useful to have a copy of your school's performance management policy for reference.

Part 1: For governing bodies and headteachers

Why performance management?

The role of the governing body is 'to conduct the school with a view to promoting high standards of educational achievement'.

So how does performance management help towards achieving high standards?

- It requires the governing body to identify and agree the priorities for their school's improvement.
- It is an instrument through which the governors can be sure that the school's resources are directed towards those priorities.
- The key to providing high standards is well-trained, well-motivated staff who feel valued and who reflect on their own practice, and on how it can be developed to promote school improvement.
- It provides a fair and transparent basis for evaluating the work of the staff and rewarding them.

Performance management is one of the strategic levers which enables the governing body to discharge its key roles of:

- helping to shape the vision and direction of the school
- ensuring that the school fulfils its statutory duties
- understanding the strengths and weaknesses of the school
- challenging and supporting the senior management team.

Equal opportunities

Fairness and consistency of judgement are essential in any performance management system. The school needs to ensure that all its staff have equality of opportunity to achieve their full potential and are not discriminated against when agreeing objectives and assessing performance. Each school needs to ensure that staff are not discriminated against because of age, disability, gender, nationality, race, religion, nor are treated unfairly because they work part-time or are union representatives.

The legal duties which relate to the governing body's responsibility to performance management

[Source – Education (School Teacher Appraisal) (England) Regulations 2001]

The governing body must:

- ensure that there is a performance management policy which is reviewed annually
- receive from the headteacher, at least once during each school year, a written report about the operation of teachers' appraisal at the school, the effectiveness of the school's appraisal procedures, and the training and development needs of the teachers
- satisfy itself that the performance of teachers in discharging their duties at the school is appraised annually.

The governing body shall:

- appoint two or three governors to be appraisers for the headteacher, and may appoint a new appraiser in place of an existing appraiser at any time
- appoint an external adviser to assist with the appraisal of the headteacher
- ensure that objectives have been agreed for the headteacher before 31 December each year.

Additional points

- The headteacher, and teachers, have a right to complain about an appraisal statement within 10 school days of receiving it.

Teachers: the person identified to respond to complaints and appeals is the headteacher, but where the headteacher is the appraiser, the review officer is the chair of governors.

Headteachers: the chair of governors acts as review officer for complaints by the headteacher, providing s/he has not been involved in the performance review. Where the chair of governors has participated in the headteacher's appraisal, the governing body shall appoint one or more governors who have not participated.

Note: 'appraisal' is the term used in *Education (School Teacher Appraisal) (England) Regulations 2001*. However, in practice this term is often replaced by 'performance review' (annual review, interim review) etc.

Legal duties – some questions for the governing body

Q. Do we have in place a performance management policy?

Q. Is it reviewed annually?

Q. Do we receive an annual written report from the headteacher about the operation and impact of the school's appraisal process?

Q. Does it inform us about the training and development needs of the teachers?

Q. Do all the teaching staff at our school receive an annual appraisal?

Q. Have we appointed a panel of two or three governors to carry out the performance management of the headteacher?

Q. Has an external adviser been appointed?

Q. Are the appointed governors carrying out the task to the required timescale?

Q. Have we appointed a review officer if the chair of governors is involved in the head's appraisal?

Q. Do we know if the process is working effectively?

Features of a good performance management policy

- The aim of the policy is clearly stated.
- It states what outcomes it is intended to achieve and how they can be measured.
- It must conform to legal requirements.
- The links to school improvement are clearly made.
- The teaching staff are aware of the contents of the policy.
- It demonstrates how the school values its staff.
- It is fair and treats all teaching staff equally.
- Every step in the process is clearly spelt out.
- Clear line management arrangements are identified.
- There is a limit on how many teachers team leaders will review.
- Monitoring and evaluation processes are built in.
- Mid-year or more frequent reviews of progress are included.
- The appeals/complaints procedure is clearly defined.
- There is provision of ongoing training in aspects of performance management as needs arise.
- It provides clear information on the links between performance management and recommendations about pay.
- The policy is reviewed annually, and amended when appropriate, so that it both reflects good practice and deals with any issues which have arisen over the past year.

The performance management policy – some questions to ask

Q. Do we have a performance management policy in place?

Q. Does the headteacher report to us annually on its operation and implementation?

Q. Do we review it annually and make changes where necessary?

Q. Do we involve staff in this review?

Q. Are all teaching staff clear about how the process works and who is responsible for doing what, to what timescale?

Q. Do all new team leaders receive training in carrying out their role?

Q. Do all appointed governors receive training in carrying out their roles?

Q. Is the process working effectively in our school?

Q. Are there things we could do to make it work more effectively?

Q. Do teaching staff value the process of performance management and find it useful as a tool for further professional development?

Q. Do we have evidence that the performance management process is having a positive impact on children's learning?

Q. Does it make clear the links between performance and pay?

Q. Do we have evidence that the performance management process is clarifying the professional development needs of our teaching staff?

Q. Are staff receiving the professional development that has been highlighted?

Q. Have we allocated enough money in the budget to cover all the costs associated with training and development needs?

Q. Is this training and development impacting on practice? How is this being monitored and evaluated?

The performance management cycle for the headteacher

Who	When	What	How
Governing body	Summer term	Appoints appointed governors to carry out headteacher's review.	Meeting
Governing body	Summer term	Nominates contact governor to liaise with external adviser.	Meeting
CEA (Cambridge Education Associates)	Summer term	Sends booking request form to headteacher and governing body.	Email/Post
Appointed governors	Summer term	Select and book external adviser.	Email/Post
External adviser	Within 5 days of receipt of booking confirmation	Phones contact governor to arrange date of review meeting and request pre-visit documentation. Informs CEA of date.	Phone
Contact governor, headteacher	Early autumn term	Collects pre-visit documentation, sends to external adviser.	Post
Contact governor, headteacher	When date of visit set	Make LEA link adviser aware of the visit. (A template letter to school's link adviser or equivalent is supplied by CEA).	Template letter
CEA	Early autumn term	Confirms with contact governor the date and arrangements for visit.	Phone/Email
External adviser	Autumn term	Sends preliminary written advice (via the contact governor) to appointed governors and headteacher.	Post
External adviser, headteacher	Day of the review meeting: (before the meeting)	Meet to discuss external adviser's preliminary advice, HT self-evaluation, review of overall performance, LEA input, etc.	Meeting
External adviser, appointed governors	Day of the review meeting: (before the meeting)	Meet to discuss external adviser's preliminary advice, decide review meeting agenda.	Meeting
External adviser, headteacher, appointed governors	At the review meeting	Conduct review meeting to discuss headteacher's performance, set new objectives and discuss headteacher's professional development needs.	Meeting
External adviser	At the review meeting	Offers to write the first draft of the review statement and statement of objectives.	Meeting
Appointed governors	After the review meeting	Complete the post-visit questionnaire, send to CEA.	Post
Appointed governors	Within 10 days of the review meeting	Produce review statement and statement of objectives; give copy to headteacher.	
Headteacher	Within a further 10 days	Adds written comments to review statement if desired.	
Appointed governors	Later in autumn term	Supply copies of final documents to headteacher and chair of governors. If requested, supply copy of review statement to pay governors and the Chief Education Officer (CEO).	

Glossary of essential terms

Appraisal	A review of the teacher's or headteacher's performance.
Appointed governors	Two or three governors appointed to review the headteacher's performance and to set annual performance objectives.
Contact governor	The appointed governor nominated to act as the link between the external adviser and the appointed governors.
CPD (Continuing Professional Development)	An entitlement for all involved in education to receive up-to-date and ongoing training and development throughout their career.
Delegated powers	Authority given by the governing body to a committee/an individual or the headteacher to take action on behalf of the governing body.
External adviser	The external adviser is an accredited expert who must advise and support the governing body on reviewing the head's performance. Every school is entitled to an adviser for the equivalent of a day during the review cycle.
Objectives	Between three and six objectives should be set for each member of staff. Teacher objectives must cover pupil progress and ways of developing teachers' professional practice. The head's objectives cover school leadership and management as well as pupil progress.
PANDA	Performance and Assessment Report – profile of the school provided annually by OFSTED containing a range of comparative and contextual performance data. (Not applicable to Special schools.)
Preliminary advice	Written advice sent by the external adviser to the appointed governors and the headteacher prior to the appraisal meeting.
Review statement	The appraisal report, summarising the overall performance of the teacher or headteacher.
Review officer	The person identified to respond to complaints and appeals. The chair of governors acts as review officer for complaints from the headteacher, if s/he has not been involved in the performance review, and for teachers where the headteacher is the appraiser. Otherwise the headteacher is the review officer for complaints from the teaching staff.
SATs	National tests and tasks to assess the level of attainment reached by pupils at the key stages of the National Curriculum, i.e. at 7 years at the end of Key Stage 1; at 11 years at the end of Key Stage 2; at 14 years at the end of Key Stage 3.
SENCO	SEN Co-ordinator. The teacher responsible for co-ordination of Special Educational Needs provision in the school.
SMT	Senior Management Team.
SIP (School Improvement Plan)	The strategic plan setting out the objectives to improve the school's provision and performance.
Team leader	This term relates to teaching staff only. The team leader is the person who carries out the performance review. Each team leader works with a small number of teachers to ensure that objectives are discussed and agreed, and that regular and objective feedback is given.

Who does what – at a glance

Full governing body	Appointed governors	External adviser
<p>The full governing body must not discuss the performance of an individual member of staff as a whole group. In brief the full governing body should do the following:</p> <ul style="list-style-type: none"> • ensure the performance management policy is in place and working effectively, and is reviewed on an annual basis • decide which governors will carry out the headteacher's performance review • select the external adviser; they may wish to delegate this to the appointed governors • appoint the review officer • make space on the agenda annually to receive the headteacher's written report on performance management. 	<p>The appointed governors to whom responsibility is delegated for the headteacher's performance review should do the following:</p> <ul style="list-style-type: none"> • undertake training • use an external adviser • agree targets and objectives with the headteacher • receive/commission evidence and information to be collected • conduct the headteacher's performance review • set objectives • consider advice from the external adviser, when agreeing objectives and reviewing the head's performance • agree arrangements for interim review • report back on the process to the full governing body • make recommendations on pay to the appropriate committee. 	<p>The external adviser will:</p> <ul style="list-style-type: none"> • help the appointed governors to analyse school data sent by the governors prior to school visit • meet separately with the head and governors prior to the review meeting • attend the formal review meeting and carry out any post-review actions required by the governing body • assist the governing body to establish objectives with the headteacher • advise on the monitoring process through the year • offer to produce the review statement • offer to draft objectives.

Who does what – at a glance

Headteacher as lead professional

The headteacher has particular responsibilities to:

- manage the implementation of the performance management policy throughout the school
- ensure that the PM process is producing successful outcomes for individual staff and for the whole school
- take decisions on threshold applications from teachers applying to move through the threshold
- establish his/her own objectives with the appointed governors
- participate in his/her own performance review
- act as appraiser and team leader as appropriate
- report in writing to the governing body, on an annual basis, about the operation and effectiveness of the school's appraisal procedures, and the training and development needs of the teachers
- secure CPD provision
- advise pay and other committees on appropriate links to performance management.

Headteacher as job holder

As job holder, the headteacher has particular responsibilities to:

- agree a draft timetable for the annual and interim review meetings
- make available to the governors the material that s/he has identified for the external adviser
- consider the external adviser's preliminary advice and suggested areas of focus for objectives
- meet with the adviser before the review meeting to discuss:
 - the school's performance
 - his/her overall performance
 - his/her performance against set objectives
 - the school's priorities
 - areas for future objectives.
- The headteacher may also take the opportunity to evaluate his/her own performance – both overall performance and progress towards objectives – and share with the appointed governors in an agreed format where appropriate.

Frequently asked questions

1 *Are any governors disqualified from appointment as appointed governors or review officer?*

No one employed for the purposes of the school can play any part in the performance management process of the headteacher.

2 *What if any appointed governors leave during the course of the year?*

The governing body appoints a replacement and makes suitable training available.

3 *For how many years can an external adviser work with a school?*

No more than three years.

4 *What if the external adviser you want isn't available?*

You may select from the list on CEA's website – or ask CEA to recommend someone for you.

5 *Who should see the headteacher's self-evaluation form?*

Use of the form is optional. It is very useful to the process if the headteacher is prepared to share the form with the external adviser and the appointed governors, but it is a matter for the headteacher.

6 *Can the headteacher's objectives be changed during the year?*

If circumstances change during the year, the objectives can be amended, provided all parties agree. A note to the effect, explaining reasons, should be attached to the statement of objectives.

7 *What if the headteacher doesn't agree with the objectives the governors want to set?*

The governors may decide to set them anyway and the headteacher may add written comments at the same time.

8 *Who knows what the headteacher's objectives are?*

The appointed governors and the chair of governors are legally entitled to know what the head's objectives are. However, many headteachers share their objectives with the governing body and their teaching staff.

9 *Who knows if the headteacher's objectives have been met?*

The appointed governors and the chair of governors are entitled to know the extent to which the headteacher's objectives have been met. The pay governors and the Chief Education Officer (CEO) may request a copy of the review statement.

Frequently asked questions

10 *What if the headteacher doesn't agree with the review statement?*

The headteacher can appeal to the review officer about any aspect.

11 *Do the headteacher's objectives have to be fully met in order for a pay recommendation to be made?*

No. The school's pay policy should clearly state the conditions under which a recommendation will be made. This should focus on the headteacher's overall sustained performance, but the extent to which objectives have been met must be taken into account.

12 *What if the governing body says the school can't afford a recommended pay rise?*

The governing body should have identified the sum available to be spent on staff pay in the school year and agreed the process for prioritising recommendations for pay awards.

13 *Should the external adviser be involved in decisions about pay?*

No. The external adviser's role is to support the performance management of the headteacher only.

14 *Can the headteacher refuse performance management, especially when at the top of the pay spine?*

No, because primarily this is about improving personal performance and school standards.

15 *What if questions are raised about the headteacher's capability?*

When a decision is taken to enter into a formal capability procedure, the performance management process is suspended.

16 *What should the headteacher's annual report to the governing body on performance management contain?*

As a minimum, it must cover: the operation of teachers' appraisal at the school, the effectiveness of the school's appraisal procedures, and the training and development needs of the teachers.

17 *Are there circumstances in which new objectives, to a new timescale, can be set?*

Yes. These will usually apply when a headteacher joins a school during a school year on a temporary or permanent basis, or where exceptional external circumstances prevail, so the previously set objectives may no longer be relevant or achievable. The Personnel department of your local authority will provide specific guidance in these circumstances.

Questions to be addressed when receiving the headteacher's annual report on performance management

Q. Has the performance management process in our school contributed towards higher standards – and how?

Q. How do we know?

Q. Has performance management had any impact on staff morale?

Q. Has performance management had any impact on staff development?

Q. Is the process regarded as fair and equal by all staff?

Q. Are we getting good value for money with the training and support we are purchasing?

Q. Are we using our INSET days to best effect? Are they supportive of the priorities in the school improvement plan?

Q. What evaluation is carried out of continuing professional development throughout the school?

Q. What is the relationship between performance management, continuous professional development and the school improvement plan?

Q. Do we have evidence that the performance management process is having a positive impact on school standards?

Q. Could the process be performed any better – and if so, how?

Part 2: For appointed governors and headteachers

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Timetable for the headteacher's performance management

Autumn term

- Governing body confirms governors to conduct headteacher's review.
- Appointed governors nominate the contact governor.
- Draft timetable for headteacher's review is confirmed.
- Agreed information is sent to the external adviser.
- Review meeting takes place.
- Headteacher's objectives are set, including monitoring and evaluation procedures.
- Review statement is produced and distributed to headteacher and chair of governors.
- Any pay recommendations are made.
- Training and development needs and ways of meeting them are identified.

Spring term

- Interim review of headteacher's objectives is conducted in the context of reviewing the head's overall performance.

Summer term

- Interim review of headteacher's objectives is conducted.
- Governing body appoints governors to conduct headteacher's review.
- Appointed governors nominate the contact governor.
- Nominated contact governor draws up draft timetable for next annual review cycle.
- Nominated contact governor books external adviser.

Legal duties relating specifically to the appointed governors

[Source – Education (School Teacher Appraisal) (England) Regulations 2001]

- At the start of the appraisal cycle, all the appraisers of a headteacher, the external adviser and the headteacher shall meet to plan and prepare for the appraisal and to seek to agree objectives which shall include objectives relating to:
 - school leadership and management
 - pupil progress.
- As it is a requirement under the Appraisal Regulations to identify training and development needs, it is recommended that an objective in the area of personal professional development is also set.
- Objectives must have been agreed for the headteacher before 31 December each year.
- At, or near, the end of the appraisal cycle, the appraisers, the external adviser and the headteacher shall hold a meeting to:
 - review the headteacher's overall performance
 - celebrate achievements and identify aspects in which further development would be desirable
 - assess the extent to which objectives have been met
 - identify any training and development needs, and ways of meeting them.
- Within 10 school days of this interview, a written appraisal statement summing up the interview and conclusions reached shall be made available to the headteacher.

Using the external adviser

- The school must use the services of an external adviser.
- The school receives those services for a total of eight hours, for which there is no cost to the school.
- The adviser will normally spend up to three of the eight hours reviewing the documents forwarded by the school and preparing preliminary advice.
- The core structure for the visit and **likely** time allocation is as follows:
 - one hour for the adviser to meet with the headteacher prior to the review meeting
 - one hour for the adviser to meet with the appointed governors to discuss the handling of the formal review
 - two hours during which the formal review will take place
 - one hour for the adviser to draft the review statement and statement of objectives.
- The governing body may purchase additional time from the external adviser if they so wish.
- For an individual external adviser, there is a limit of three visits/annual cycles per school. A new external adviser must then be selected.

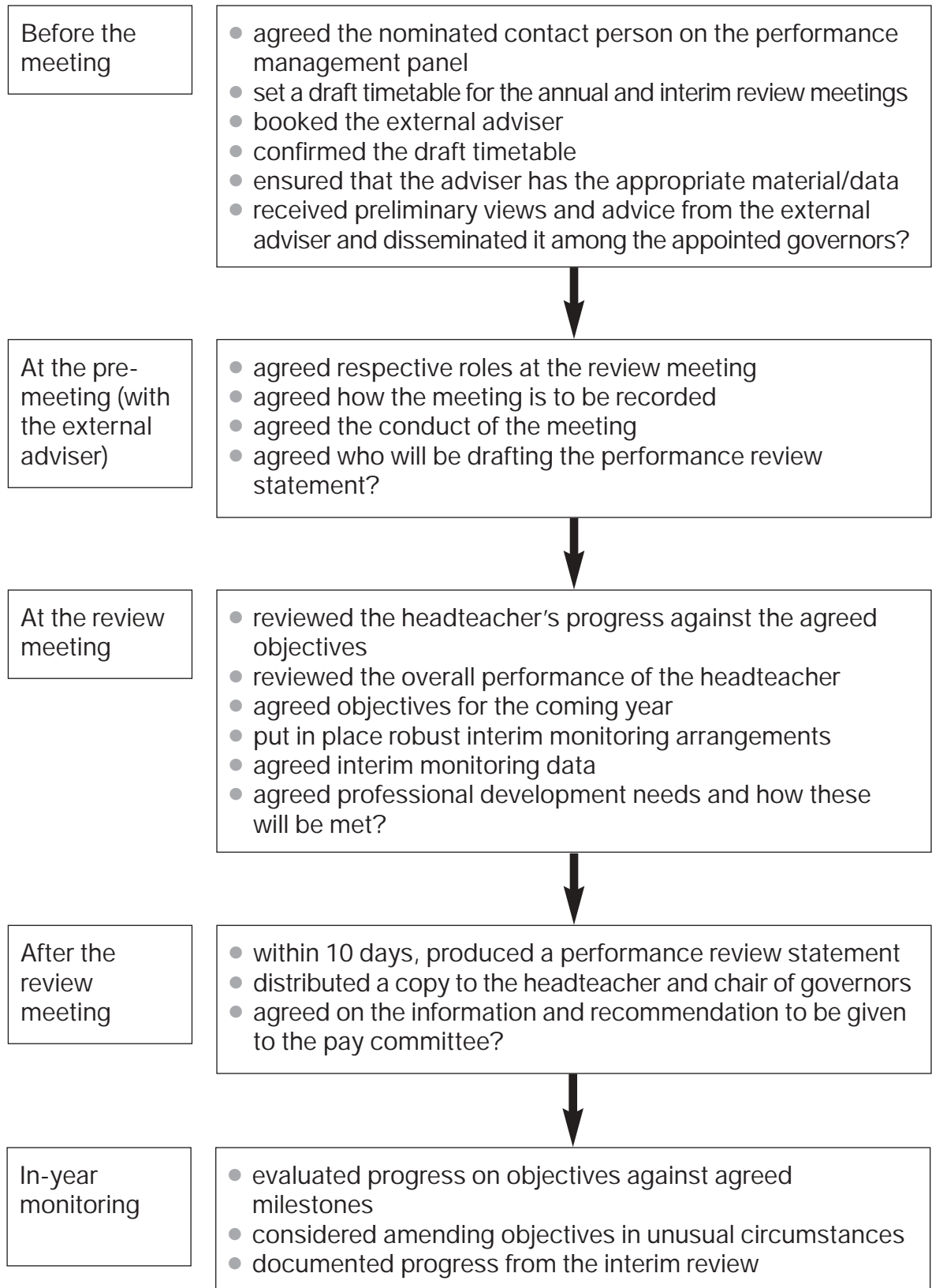
Specific duties of the external adviser

The external adviser should:

- clarify the process and request documentation so as to prepare advice prior to the meeting, in an initial phone conversation with the nominated contact governor
- send preliminary written advice to the nominated governor and to the headteacher about:
 - progress towards achievement of the headteacher's current objectives
 - suggested areas of focus for objectives in the coming year
- suggest, in preliminary advice, potential areas for the headteacher's continuing professional development
- offer 'strong encouragement' to the headteacher and appointed governors to meet with the adviser before the formal review meeting
- give advice on reviewing the headteacher's overall performance to the appointed governors in the formal review meeting
- make a clear offer to produce the first draft of the review statement and the statement of objectives
- advise on monitoring performance throughout the year, reminding governors to make use of existing governing body arrangements such as committees. (See page 42 for an objective setting/monitoring proforma and a completed sample proforma.)

Actions checklist for the appointed governors relating to the performance management of the headteacher

Have the appointed governors:



A practical guide: ten stages in managing the performance of the headteacher

Preparing for the review

Stage 1

Appointing the performance management governors

- The governing body must confirm two or three governors to carry out the headteacher's performance review.
- Governors who are employed for the purposes of the school must not be involved in the headteacher's review.
- In voluntary controlled schools, at least one of the appointed governors must be a foundation governor.
- In voluntary aided schools, where there are two appointed governors, one must be a foundation governor; where there are three appointed governors, two must be foundation governors.

A review officer (normally the chair of governors, provided the chair is not an appointed governor) must also be appointed.

These decisions will normally be taken at the governing body's first full meeting of the school year. Occasional vacancies will need to be filled at the next available governing body meeting.

The appointed governors should undertake training to help them to fulfil their role.

Qualities the governing body should consider when selecting the appointed governors are:

- a good knowledge of the school
- listening and questioning skills
- ability to work in a team
- some analytical ability
- empathy
- previous experience of appraisal reviews
- understanding of management processes
- understanding of performance management
- diplomatic skills.

MB/RL/206839

EXTERNAL ADVISER BOOKING REQUEST – ROUND 4

School Name

Add1

Add2

Add3

City

PCode

To the Chair of Governors

Please see GUIDANCE NOTES when completing this form.

School Details

School Name:	
Headteacher's Name:	
Chair of Governors' Name:	
School DfES Number:	
Telephone/Fax Number:	
School email:	
LEA/Region Number:	

Amendments (Please use this section to amend any of the details above)

School Name:	
Headteacher's Name:	
Chair of Governors Name:	
School DfES Number:	
Telephone/Fax Number:	
School email:	

Named Governor Contact for External Adviser Visit

(governor contact available for External Adviser to make administrative arrangements for visit)

Governor's Name:	
Telephone/Fax Number (daytime)	
Address (if different from school)	
Email:	

Stage 2a

Selecting and booking the adviser – completing the booking request form

At the start of the summer term, Cambridge Education Associates (CEA), who manage the team of external advisers, will send headteachers and governing bodies a booking form with a set of instructions for completing it.

The appointed governors should decide which of them will act as the named contact.

The named governor will negotiate dates, times and details of meetings with the other appointed governors, the headteacher and the external adviser.

The form should be returned to CEA as soon as possible.

Note: Page 1 of the External Adviser Booking Request form (Round 4) is reproduced on the opposite page. Pages 2 and 3 of the form are reproduced on page 26.

School DfES Number: **Selection of External Adviser – Schools may:**

- (A) Select the External Adviser who has visited the school previously (subject to adviser availability). However, the DfES have stated that an External Adviser may not visit a school in Round 4 if they have visited on three previous occasions:

Please tick
We wish to select our previous External Adviser (subject to adviser availability).

Name of External Adviser: _____

or,

- (B) Select an External Adviser from the website (www.cea-advisers.co.uk) and complete the boxes below to identify a first and second preference:

Please tick
We wish to select an External Adviser from the website.

ID Number of External Adviser	Name of External Adviser

or,

- (C) Ask CEA to make a suggestion of an External Adviser

Please tick
We wish CEA to make a suggestion of an External Adviser.

Note: If your school has not had a previous visit, please only tick either B or C.
If External Adviser has visited your school for 3 years, please only tick B or C.

Signed: _____ Date: _____

Position in School: _____

School DfES Number: **Any particular features of the school**

E.g. rural location, strong religious ethos, outcomes of most recent OFSTED inspection

The use of an accredited CEA External Adviser by the governing body is a requirement under the Appraisal Regulations.

If you do not intend to use the services of an External Adviser please explain the reason below:

Signed: _____ Date: _____

Position in School: _____

Now please return this form to CEA at the address given overleaf.

Stage 2b

Selecting and booking the adviser –
selecting the adviser

- The governing body must select an external adviser. They may delegate this decision to the appointed governors.
- The school may:
 - select the external adviser who has visited the school during a previous round, provided they will not be performing the role for the fourth year
 - select an external adviser from the website
 - ask CEA to suggest an adviser.
- The appointed governors and the headteacher may draw to the attention of the adviser any feature they consider to be particularly significant about the school.

Possible features may relate to:

- phase of school
- church schools or other schools of a religious nature
- specialist schools
- beacon schools
- schools with sixth forms
- schools in special measures/with serious weaknesses
- gender
- selection policy
- special units on site
- location/environment/socio-economic characteristics.

*Template letter to school's 'link adviser' or equivalent, for use
by appointed governors*

(School Address)

(Link adviser Address)

(Date)

Dear (name),

Headteacher Performance Review: External Adviser Visit – Round 4

You are no doubt familiar with the process of external adviser visits to support governors with the review of headteacher performance. Letters have been sent from Cambridge Education Associates to Local Education Authorities to make them aware of the visits in case there is any information they wish to draw to the attention of those participating in the review.

An external adviser visit to this school has been agreed for (date). I am writing on behalf of those governors appointed to undertake the review of the headteacher's performance, to invite you to submit, in writing, a copy of any LEA monitoring information about the school or the leadership of the headteacher which you consider will be of assistance to the appointed governors. It is not envisaged that any new documentation need be produced, but copies of any existing monitoring reports relevant to this process will be welcomed. Any information supplied by the LEA will be treated as confidential, shared only with the appointed governors, the headteacher and the external adviser. The governors would appreciate receipt of any such information in time to send it out to the external adviser two weeks in advance of the visit.

Thank you for your assistance with this matter.

Yours sincerely,

Stage 2c

Selecting and booking the adviser – seeking information from the LEA

- The governors will be issued (by CEA) with a template letter to request copies of LEA monitoring information from the school's link inspector/adviser.
- This information will be sent to the contact governor who sends it to the external adviser and ensures it is shared with the headteacher and the other appointed governors.
- LEAs follow a variety of different practices regarding the information about the school gathered through their own monitoring. The template letter is designed to ensure that information on the school's performance held by the LEA is shared with the external adviser.

MB/RL/206839

GOVERNORS' COVER SHEET FOR CONTEXTUAL AND MONITORING INFORMATION

The use of this information sheet is optional. It acts as a cover sheet for the school contextual and monitoring documents sent to the external adviser. It is also intended to help appointed governors to focus on the key information that might be considered in the review of the headteacher's performance, and to enable the external adviser to take account of governor priorities in the pre-visit preparation stage.

Name of School	
DfES number (if known)	
Name of Headteacher	
Names of Appointed Governors	1. 2. 3.

Documents enclosed:	✓
1. Objectives set for 2002 – 2003	
2. A summary of monitoring information collected during the year	
3. Most recent PANDA Report	
4. Most recent external test/examination results (if not included in PANDA)	
5. Current School Improvement Plan	
6. Post-OFSTED Action Plan (where current)	
7. LEA monitoring information (if available)	
8. Optional headteacher self-evaluation form	

Objectives for 2003–2004

In order to brief the external adviser fully, governors may wish to highlight significant issues that the school will address in the next year. The External Adviser will take account of these in the preliminary advice but may also raise other issues based on the contextual and monitoring information supplied.

1.
2.
3.

Please continue on the reverse if necessary, adding any further information you consider relevant.

Signed: _____ Date: _____

*Please do not send this form to CEA. It should be sent directly to your adviser
with your school contextual and monitoring documents.*

Stage 3

Agreeing arrangements and sending preparatory information

- Once the forms are returned to CEA, the selected adviser calls the nominated contact governor to discuss arrangements: date, time, venue and other details (including timing of the meetings).
- The adviser and the contact governor discuss and agree what documents should be sent to the adviser before the meeting.
- The contact governor arranges for the documents to be sent to the adviser with the cover sheet reproduced opposite. These may include a headteacher's self-evaluation which may also be provided for the governors and the adviser.
- It is critical that the external adviser receives appropriate documentation in good time. These documents will form part of the evidence base upon which the external adviser can form a preliminary view of the overall performance of the headteacher and the progress made in achieving the objectives set.



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HEADTEACHER SELF-EVALUATION FORM FOR REVIEW OF 2002-2003 OBJECTIVES

Use of this form is optional. It is provided to enable headteachers to contribute a personal perspective or additional information to the review process, if this has not been included in other documentation supplied to the external adviser. Information supplied on this form will be shared with appointed governors in the review meetings.

Name of Headteacher	
Name of School	
School DfES number	

Objectives for 2002-2003

Leadership and Management

Areas covered by objectives:

Self-evaluation of progress towards objectives or additional information:

Pupil Progress

Areas covered by objectives:

Self-evaluation of progress towards objectives or additional information:

Other objectives

Areas covered by objectives:

Self-evaluation of progress towards objectives or additional information:

Overall performance

Any additional information to contribute to review of overall performance:

Signature of Headteacher:

Date:

Stage 4

Headteacher self-evaluation form

- The nominated governor should check that the headteacher has a copy of the optional headteacher self-evaluation form.
- Use of the self-evaluation form provides an opportunity for the headteacher to prepare for the performance management process by enabling them to reflect on their practice over the last year.
- Use and sharing of the self-evaluation form is a matter for the headteacher – but it does offer additional and personal information to the review process.



HEADTEACHER PERFORMANCE REVIEW

External Adviser Record of Visit – Round 4 (2003–2004)

Part 1: Pre-visit

PRELIMINARY ADVICE FROM EXTERNAL ADVISER TO APPOINTED GOVERNORS

EXTERNAL ADVISER REVIEW OF HEAD TEACHER PROGRESS TOWARDS 2002–2003 OBJECTIVES

List of information supplied:

Leadership and Management

Areas covered by objectives:

Evaluation of the progress towards objectives from the information supplied:

Pupil Progress

Areas covered by objectives:

Evaluation of the progress towards objectives from the information supplied:

Other

Areas covered by objectives:

Evaluation of the progress towards objectives from the information supplied:

Overall Performance

Any additional evaluation of overall performance:

Adviser Training, Round 4, 2003

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REVIEW OF SCHOOL CONTEXTUAL INFORMATION AND SUGGESTED AREAS FOR OBJECTIVES FOR 2003–2004

Analysis of the school context

(i) Documentation received:

1. Objectives set for 2002–2003	Yes/No
2. A summary of monitoring information collected during the year	Yes/No
3. Most recent PANDA report	Yes/No
4. Most recent external test/examination results (if not in PANDA)	Yes/No
5. Current school improvement plan	Yes/No
6. Post-OFSTED action plan (where current)	Yes/No
7. LEA monitoring information (where available)	Yes/No
8. Optional 'Headteacher Self-evaluation Form' (supplied by CEA)	Yes/No
9. Governors' optional 'Cover sheet' (supplied by CEA)	Yes/No
Other (please specify):	Yes/No
Other (please specify):	Yes/No

(ii) Summary of the key elements of the school contextual data that provide the basis for suggested areas for objectives:

Areas identified for possible objectives for 2003–2004:

Governors may wish to choose one or more of these suggestions under each heading:

(i) Leadership and management

(ii) Pupil progress

(iii) Others

Areas identified for possible continuing professional development:

Adviser Training, Round 4, 2003

2

Stage 5

External adviser's preparatory work

- After reviewing the documents, the external adviser sends preliminary written advice (using the proforma reproduced opposite) to the contact governor and to the headteacher about:
 - an initial evaluation of overall performance
 - progress towards achievement of the headteacher's objectives for the current year
 - suggested areas for objectives for the coming year.
- The contact governor shares the advice with the other appointed governors, so that it can be considered before the review meeting takes place.

Conducting the review

Stage 6

The headteacher meets with the external adviser

- The following areas might be considered:
 - the school's performance as seen by the headteacher
 - the headteacher's overall performance and impact on school improvement
 - the headteacher's performance against the agreed objectives
 - any specific issues or challenges that have arisen during the year
 - the external adviser's perception of the school's performance
 - the external adviser's preliminary advice to the governors.
- The headteacher and the external adviser might also have an initial discussion about the areas for objectives suggested by the adviser.

Stage 7

The appointed governors meet
with the external adviser

- The following should be decided:
 - the format of the review meeting and the respective roles to be discharged
 - how the meeting is to be chaired (the adviser may be asked to chair the meeting if the governors wish)
 - how a record of the meeting is to be made (the adviser may do this at the governors' request)
 - who will draft the post-meeting performance review statement (the adviser will offer to do this).

- These areas might also be discussed:
 - the school's performance as seen by the governors
 - the headteacher's overall performance and impact on school improvement
 - the headteacher's performance against the agreed objectives
 - the headteacher's continuing professional development
 - any specific issues or challenges that have arisen during the year
 - the external adviser's perception of the school's performance
 - the external adviser's comments and preliminary advice to the governors.

- The governors and the external adviser might also have an initial discussion about the areas for objectives suggested by the adviser.

HEADTEACHER PERFORMANCE REVIEW: DRAFT REVIEW STATEMENT

This form may be used to record the key elements of each stage of the review process, in order to form the basis of the review statement provided by the appointed governors.

Name of school	
Name of headteacher	
Names of appointed governors	1. 2. 3.
Date of review meeting	

THE REVIEW OF PROGRESS TOWARDS 2002–2003 OBJECTIVES

Summary of the outcomes in the review of headteacher progress towards objectives in 2002–2003, noting main achievements.

Leadership and management

Pupil progress

Other objectives

ANNEX to APPRAISAL STATEMENT

Training and Developmental needs 2003–2004

Other factors in consideration of overall performance

Ways of meeting training and developmental needs 2003–2004

Stage 8

The review meeting with the governors, the headteacher and the external adviser

- The review meeting will follow on immediately from the pre-review meetings, and will follow the format agreed by the governors with the external adviser.
- The purpose of the meeting is to:
 - reach a judgement about the **overall** performance of the headteacher during the year, including achievement against previously agreed objectives
 - identify professional development needs and activities
 - agree new objectives.
- Following the review meeting, the appointed governors produce a performance review statement using the form reproduced opposite, if they wish. The statement should be brief, summarising the discussion at the review meeting, and provide a sound basis for setting future objectives. They should give a copy to the headteacher within 10 days of the review meeting. The headteacher then has a further 10 days to add written comments. Copies of the final document go to the headteacher and the chair of governors.
- The headteacher's training and development needs and the ways of meeting such needs will be identified at the review meeting. These should be recorded in a separate annex to the review statement. The chair of governors must provide a copy of the annex to the person responsible for planning the training and development of teachers at the school.
- The governors will form a view at the end of this process whether to recommend to the appropriate committee a pay award on the leadership scale.
- If a recommendation for an award is made, the appointed governors will provide a copy of the review statement to those governors responsible for taking decisions relating to pay, who should then take account of it when making such decisions.

HEADTEACHER PERFORMANCE REVIEW: DRAFT STATEMENT OF OBJECTIVES FOR 2003–2004

This form may be used to record the key elements of the objective setting process, in order to form the basis of the statement of objectives provided by the appointed governors.

Name of school	
Name of headteacher	
Names of appointed governors	1. 2. 3.
Date of review meeting	

OBJECTIVE SETTING FOR 2003–2004

What performance objectives were agreed and set?

Leadership and management

Objective(s):

Pupil progress

Objective(s):

Other

Objective(s):

Monitoring arrangements during the year:

What on-going performance monitoring procedures were agreed for each objective?

Stage 9

Agreeing the new objectives and in-year monitoring arrangements

- Once the governors and headteacher have reviewed the headteacher's performance, they will need to form a view about the objectives for the coming year. In agreeing these, they will consider:
 - any outstanding aspects of the current year's objectives
 - issues identified as priorities in the current school improvement plan
 - other priorities which may be identified by the governing body and the headteacher, which will impact on pupil progress
 - specific aspects of leadership and management
 - specific areas of personal professional development.
- Once the objectives have been agreed, they should be recorded at the meeting.
- Arrangements for review of these new objectives during the year should be put in place. Clear milestones should be built in to the objective setting process to allow for effective in-year monitoring.

Note: An objective setting/monitoring proforma and a sample completed proforma are shown overleaf.

Objectives should:

- be clear
- be concise
- be measurable
- offer sufficient challenge, and
- be relevant to your school and headteacher

in order that evidence-based judgement can be made.

Objective setting/monitoring proforma

1. Agreed objective and date to be met	2. Success criteria	3. Actions and interim milestones including dates	4. Sources of evidence of activity and outcomes	5. Current governing body structures that may provide information

Sample completed objective setting/monitoring proforma

1. Agreed objective and date to be met	2. Success criteria	3. Actions and interim milestones including dates	4. Sources of evidence of activity and outcomes	5. Current governing body structures that may provide information
<p>Leadership and Management</p> <p>By July 2004 improve the differentiation in teaching of English at Key Stage 2</p>	<p>Quality of teaching at Key Stage 2 is improved and shows:</p> <ul style="list-style-type: none"> • an increased range of teaching strategies • wider range of learning opportunities. <p>Teachers' planning for English shows more extension activities.</p> <p>Training opportunities provided to improve teachers' skills in meeting needs of higher attaining pupils.</p> <p>English Co-ordinator to undertake increased monitoring of English teaching.</p> <p>English teaching reflected as a priority in PM objectives.</p> <p>Enhanced range of reading materials to challenge more able pupils.</p>	<p>Headteacher to audit English teaching by Dec 2003 by monitoring planning and lessons.</p> <p>English subject co-ordinator to monitor all staff in Key Stage 2 by 31 March 2004 and report to GB Curriculum Committee by 30 April 2004.</p> <p>Training day for all staff undertaken by end of January 2004 in teaching English to able pupils.</p> <p>Increased range of reading materials purchased by February 2004.</p> <p>Staff briefed on possible PM objective for English by end of November 2003.</p>	<p>Headteacher's report to the GB (termly) on audit of English.</p> <p>Headteacher's feedback on PM.</p> <p>Subject Co-ordinator's report.</p> <p>Literacy Governor's overview.</p> <p>Planning and evaluation of staff training day.</p> <p>Finance report of expenditure on books.</p> <p>SATs results 2004.</p> <p>QCA annual test results.</p> <p>Forthcoming OFSTED Inspection.</p>	<p>Termly meetings between Headteacher and appointed governors.</p> <p>Full governing body meetings.</p> <p>Headteacher reports to GB.</p> <p>Curriculum Committee receipt of Co-ordinator's report.</p> <p>Finance Committee reports and meetings</p> <p>Literacy Governor's monitoring visits.</p>

Following the review

Stage 10

Reviewing the performance management process of the headteacher

- The appointed governors and the headteacher may find it useful to review the conduct of the process and note any improvements which might be made for the future.
- The whole governing body, on receiving a report from the headteacher on the conduct of performance management in the school, will consider any reports on the performance management review of the headteacher.

Some questions for the headteacher and appointed governors to consider:

1. *Did we have the appropriate level of knowledge and skills?*
2. *What training will we undertake before the start of the next cycle?*
3. *Which parts of the process worked well and why?*
4. *Which parts of the process worked less well and why?*
5. *Was information collected, shared and used well, so as to contribute effectively to the process?*
6. *Did we use data appropriately?*
7. *How well did we analyse data?*
8. *Did we make best use of the external adviser?*
9. *Did the headteacher feel appropriately supported?*
10. *Did the headteacher feel appropriately challenged?*
11. *Did the governors feel that they could support and challenge the headteacher in an appropriate way?*
12. *Was the review meeting a positive and useful experience?*
13. *Has the process been conducted throughout in a professional and rigorous manner?*
14. *Has the process contributed to school improvement?*
15. *What improvements should we be seeking for next year?*

The review officer

Who is the review officer?

The review officer is the person identified to respond to complaints and appeals from individuals concerning their own performance management.

For all teachers whose appraiser is not the headteacher, the review officer is the headteacher. If, however, the headteacher *is* the appraiser, then the review officer is the chair of governors.

The chair of governors is the review officer for the headteacher. However if the chair of governors has been part of the appointed panel for the headteacher's appraisal, then the governing body must appoint one or more governors as review officer(s).

Staff and teacher governors may not act as review officers.

What is the timescale for complaints about appraisal?

Complaints about an appraisal statement must be made within 10 school days of the appraisee receiving it.

The review officer then has a period of 10 school days from the date the complaint is received to conduct and conclude a review of the appraisal, taking into account any representations made by the person complaining.

If the review officer decides to order a new appraisal, this must be completed within 15 school days of the review officer making that order.

What powers does the review officer have?

The review officer has three options when reviewing an appraisal:

- (1) to order the appraisal statement to stand with or without observations of his own; or
- (2) with the agreement of the appraiser, or in the case of the headteacher, all the appraisers, to amend the appraisal statement; or
- (3) to strike out the appraisal statement and order a new appraisal.

If a new appraisal is ordered:

- (1) in respect of the headteacher, new appraisers must be appointed by the governing body
- (2) in respect of a teacher, a new appraiser must be appointed by the headteacher. If the appraiser was the headteacher, the review officer must appoint as appraiser the headteacher of another school or an alternative suitable person, taking into account their seniority, expertise and experience.

The review officer decides which appraisal procedures should be repeated. However the review officer cannot alter the previously agreed objectives.

The review officer has no part to play if there is disagreement between the headteacher and the appointed governors about objectives set for the forthcoming year. If there is no satisfactory resolution as a result of this process, the normal procedures covering grievance and discipline may then apply.

What's on the web to help you

- The Performance Management website:
www.teachernet.gov.uk/performancemanagement

This includes:
 - Model Policies
 - Frequently Asked Questions
 - Guidance Notes
 - Case studies
- CEA website for heads and governors: www.cea.co.uk/eainfo.htm
- Statutory Instrument 2001 No.2855: "Education (School Teacher Appraisal) (England) Regulations 2001".
Available at: www.legislation.hmso.gov.uk/si/si2001/20012855.htm
- www.teachernet.gov.uk/pay
The teachers' pay site contains up to date information on pay scales and allowances.

DfES publications

The following publications can be obtained free of charge from Prolog, the DfES Publications Centre, on their distribution hotline number **0845 602 2260** or Email: dfes@prolog.uk.com

They can also be found, where indicated, on the websites listed.

- Performance Management 2003 – Support materials for Governors and Headteachers (**0533/2003**). This pack contains the following components which are also available as individual items:
 - Support guide for Governors and Headteachers (**0568/2003**)
 - Video 1 – Headteacher performance review (**0534/2003**) (not available on the web)
 - Video 2 – A practical guide: ten stages in managing the performance of the headteacher (**0569/2003**) (not available on the web)
 - Support for Governors and Headteachers – Workbook (**0535/2003**)
www.teachernet.gov.uk/performancemanagement
- Learning and Teaching: A strategy for professional development (**0071/2001**)
www.teachernet.gov.uk/professional_development
- Teachers' Standards Framework (**0647/2001**)
www.teachernet.gov.uk/professionaldevelopment/standardsframework
- Recognising Progress – Getting the most from your data, Primary (**0253/2000**)
- Recognising Progress – Getting the most from your data, Secondary (**0254/2000**)
- Special Schools – Supporting the Target Setting Process (revised March 2001) (**0065/2001**)