National College for
Teaching & Leadership

Effectively managing headteacher performance

Final report

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Contents

Headteacher performance management reports

This document is one of a set of reports about the study of the effective management of headteacher performance in schools in England.

This report is the full report, including the executive summary; details about the framework and design of the study; a review of the international literature on performance management of senior leaders in education and related sectors; analysis of empirical data collected for the study; discussion of significant issues arising from the analysis; and a summary of main findings and implications drawing on the analysis and review of literature.

We recommend that you read all the reports to understand the research fully. These documents are available on from gov.uk. The complete set of reports includes the following:

- **Research brief**

  A summary of key areas for consideration by governors and those directly involved in the process of headteacher performance management.

- **Full report**

  The full report, including the executive summary; details about the framework and design of the study; a review of the international literature on performance management of senior leaders in education and related sectors; analysis of empirical data collected for the study; discussion of significant issues arising from the analysis; and a summary of main findings and implications drawing on the analysis and review of literature.

- **Case Studies (Annexe A)**

  Ten case studies drawn from the research to illustrate approaches to headteacher performance management in a variety of schools and school groups around England.

- **Vignettes (Annexe B)**

  Twelve examples of important research themes contextualised in specific school settings.

Executive Summary

Good governing is at the heart of effective headteacher performance management. From the research detailed in this report, there is a strong case for arguing that the way headteacher performance management is carried out is a leitmotif for governing body effectiveness. Effective headteacher performance management indicates effective governing; the two are complementary. Structural changes in England's system of schooling have strengthened the need for governing bodies to put into place effective approaches to headteacher performance management for both external accountability purposes and as an important tool in improving internal accountability within schools. At the same time, these structural changes have added to stress and uncertainty, contributing to the burden of oversight for both governing bodies and headteachers.

Thus, governing bodies are at the sharp end of school leadership and management practices and the spotlight is currently on them. Both Her Majesty's Chief Inspector (HMCI) (Coughlan, 2013; Ofsted, 2013a) and the Academies Commission (2013) have recently challenged governors to 'up their game'. Valuable resources exist to help schools meet this challenge. However, governors need support to find and make use of these resources, as well as identifying those most relevant for their particular settings. What is clear from the literature and research is that when it comes to performance management (PM), one size does not fit all, but there are steps that schools can take to improve and refine their processes for their own needs, as well as for meeting external demands.

A nine month research project into the effective management of headteacher performance in maintained schools and academies was commissioned by the Department for Education (DfE), and carried out by the Institute of Education (IOE), University of London, the University of Bath and the University of Cambridge. The project was completed in September 2013. This executive summary gives an overview of the project and its key findings.

The chapters in the report are as follows:

Chapter 1 presents a framework and definitions foundational to our study.

Chapter 2 reviews the significant ideas and debates in the literature on performance management.

Chapter 3 describes important aspects of headteacher performance management that have emerged from an analysis of the research data.

Chapter 4 considers significant issues emerging from the data.

Chapter 5 of the report summarises the main findings and draws conclusions.

What were the aims of the project?

In summary, the project aimed to:

- Identify ideas, approaches and key debates around effective performance management practices for senior managers/leaders in educational and other settings.

- Assess the relevance to school governing bodies of the characteristics of effective senior manager/leader performance management and their effective management.

- Identify specific challenges to the implementation of effective headteacher performance management.

- Highlight ways of overcoming barriers to putting in place and sustaining effective headteacher performance management and management of headteacher underperformance.

- Render vivid portraits of implementation of effective practice in a range of school settings selected to highlight key issues in effective headteacher performance management.

- Discuss the implications of the findings for chairs, headteachers and governing bodies in designing, putting into place and sustaining effective headteacher performance management.

In order to address these questions, a research design was developed with four overlapping phases.

- **Phase 1 -** An initial scoping exercise mapped the characteristics of effective PM of senior leaders, identified acknowledged barriers to successful implementation, and drew out core lessons for leadership and management through a synthesis of 56 publicly-available works selected from an initial pool of 116 drawn from academic and non-academic sources.

- **Phase 2 -** The emerging findings around effective practices were used to explore current actual practice and barriers to implementation through: a) 13 face-to-face and telephone interviews with experts, and b) 2 national online surveys of chairs of governing bodies and/or governors with responsibility for headteacher performance management (April 2013, n=1,069); and headteachers (July 2013, n=147).

- **Phase 3 -** Based on initial analyses of survey and interview data and the literature, we developed a sampling frame for identifying 20 case studies of schools and school groups around the country. The research included cross-case comparison of all 20, along with the development of 10 stand-alone case studies and 12 vignettes of key themes identified in the case study data.
- **Phase 4 -** The findings from each of the preceding phases were used to produce the final report.

Four major headings adapted from the Organisation for Economic Co-operation and Development's (OECD) 'Conceptual framework for school leadership appraisal' (OECD, 2013) are used to categorise significant issues and organise the empirical data. They are:

- Governance environment
- Procedures
- Use of outcomes from performance management procedures
- Development of organisational capacity for effective performance management.

Key ideas and challenges arising from the research

The performance management of senior leaders in education has a growing body of knowledge, mostly practical and some theoretical, associated with its practices. A synthesis of evidence from the literature and interviews confirm the lack of, and need for, systematic guidance and support around effective headteacher performance management[1].

Interviewees highlighted how headteacher performance management in schools is challenged by:

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[1] The Education (School Teachers' Appraisal) (England) Regulations 2012 (SI 2012/115) set out the legal framework for the appraisal of teachers and headteachers and apply to all maintained schools, including maintained special schools, and to local authorities in respect of unattached teachers. The regulations do not apply in academies, free schools, other independent schools, or sixth-form colleges although they are free to use them if they wish. The Education Regulations (2012) specify that headteachers are assessed against the Teachers' Standards (2011) as well as objectives set by the Governing Body.

- the growing responsibilities of governing bodies and their status as non-executive boards
- the increasing diversity of structures of governance (e.g. multi-academy trusts)
- the scarcity of resources for, and guidance around, developing innovative solutions.

Our case studies showed that schools identified as following good practice were conducting headteacher performance appraisal in a similar way and were making use of existing guidance. Many of our case study schools were integrating the processes of headteacher appraisal into broader processes of managing the headteacher and the school through the astute use of performance information. We consider this more holistic approach and integrated use of performance information to be a hallmark of performance management, which encompasses robust performance appraisal. The distinction between appraisal of the headteacher and a more encompassing application of headteacher performance management is a matter of emphasis and scope, the elements of which are highly contingent on context. One crucial distinction is that effective headteacher performance management can only occur when there exist explicit practices and shared understandings around the use of performance information for the overall management of the school. In general, we found that rigorous and effective headteacher performance management is undertaken by governors with sufficient expertise, who view the process as important, and see performance management as a key part of the governing of the school. The mix of expertise and experience available on the governing body varied depending on the school's context and the conditions of the school. Expertise required on the governing body comes from governors' work in other sectors and in other formal roles. Sustaining and developing the expertise required was a concern of several governing bodies, who had implemented ways to integrate new members into the process.

Governing bodies typically benefit substantially from the participation of an external adviser (EA) or consultant with appropriate expertise and knowledge of the school. The external advisor as currently practiced combines several roles, helping to sharpen the process as well as clarifying the links between internal and external accountability, headteacher development and governing. External advisors are important to the process, often acting as a broker, and the vast majority of schools use them. However, they must be seen to 'add value' to warrant their cost.

The availability of appropriately qualified external advisors and enabling ready access to them may be a concern in the future. However, increasing the provision and quality of external advisors is only one piece of the comprehensive solution

required to develop governing body capacity to implement robust headteacher performance management.

Governors identified a wide range of training needs that pointed towards the most challenging pinch points in the process. The most common topics mentioned by governors for training and/or development that would be of greatest value to them in improving the quality of the headteacher performance management process related to:

- the technical and legal formalities of headteacher appraisal
- understanding data
- issues around pay and performance
- managing relations with the head
- setting and monitoring objectives
- benchmarking
- external advice.

10 features of effective headteacher performance management

In summary, we found effective headteacher performance management to be characterised by 10 features.

Effective headteacher performance management is integrated with the school development plan.

Coherent organisational development and the cultivation of internal accountability for development across the school are important foundations of effective headteacher performance management.

Effective headteacher performance management has a secure annual cycle of objective-setting and review together with interim monitoring.

The cycle follows clear procedures and is tailored to the needs of the school. Objective setting and the monitoring of objectives make use of appropriate sources of information. Interim monitoring consists not only of monitoring progress against school performance objectives but provides a moment to take stock of the individual performance of the headteacher on the full range of her or his objectives.

The external advisor can play an important role in mediating between individual needs of the headteacher and organisational goals, as well as working to help the governing body develop its capacity to carry out effective performance management.

Effective headteacher performance management is underpinned by sound relationships, characterised by openness, trust and integrity, among all those involved.

Headteacher performance management hinges on mutual respect, trust, candour and a willingness to challenge and to be challenged. Of particular importance are the relationships among the headteacher, the external adviser and the chair of governors.

Effective headteacher performance management involves the setting of meaningful and challenging but achievable objectives for the headteacher.

The breadth and precision of the headteacher's objectives, the quality of performance information and productive engagement of stakeholders reflect the experience, maturity and quality of overall management processes within the school. Governors need to pay close attention to the ways that personal and professional goals mesh with organisational needs.

Effective headteacher performance management strikes an appropriate balance among internal and external accountability, development and reward.

External accountability and visibly demonstrating progress against objectives serve as the overarching motivation for setting ambitious objectives and for constructive uses of performance information throughout the organisation.

There is recognition of the need for 'reciprocal accountability', challenge accompanied with appropriate support.

Providing recommendations for performance-related pay is an important outcome of the process that is among the most challenging, even for governing bodies and headteachers with well-developed performance management processes. The challenge will increase as performance-related pay becomes the norm throughout schools and across the educational system.

Effective headteacher performance management makes use of a wide variety of data from a range of sources to inform and underpin decision-making.

Data is regularly used as part of the ongoing monitoring of organisational performance. The use of clear, consistent and timely data of a range of kinds is an important input into the headteacher performance management process. Typically the external advisor ensures that the headteacher performance management process is underpinned by sound data and appropriate data use.

Performance or attainment data are most prevalent in providing evidence of achievement. Condensed data displays, such as the 'data dashboards' produced by Ofsted, are not yet widely adopted and offer governing bodies ready access to a range of indicators that might be useful in monitoring school performance and

raising questions about and/or praising individual performance. Governing bodies may need to consider alternative forms of evidence, such as 360-degree feedback, as a means of making use of performance information that is most appropriate to the needs of their headteacher and school.

Effective headteacher performance management is evaluated and adapted over time to meet evolving requirements of individual circumstances and shifting organisational needs within a dynamic context of governance.

Effective headteacher performance management evolves with the needs of the headteacher and the school. This entails regular reflection on how objectives, the process and its outcomes are meeting the needs of the individual headteacher and the school.

Effective headteacher performance management is appropriate for the stage of development of the school and the headteacher.

The link between headteacher performance management and holistic approaches to performance management throughout the organisation became clear when examining the connections between performance management and other management processes in the school. The external advisor has an important role to play in making these connections explicit.

Effective headteacher performance management is viewed as part of an on-going and wider process of working with the headteacher and all members of staff to ensure high levels of performance.

Managing the progress of the school as an organisation and managing the headteacher are ongoing and intertwined processes for intelligent internal accountability

Effective headteacher performance management is integral to the development of overall governing body capacity to meet the needs of the school.

Our case studies make clear that effective headteacher performance management is an attribute of highly-effective governing bodies. A focus on developing the governing body's capacity for effective performance management of the headteacher can serve as a fulcrum for improving the governing body's overall efficacy.

Effective oversight of the headteacher performance management process is one of the most important roles played by the governing body in the overall governance of the school. The challenge is to ensure that all school governing bodies are in a position to play that part.

Chapter 1: Introduction, framework and research design

Headteacher performance management is among the most important and least understood aspects of the role of a school governing body. Currently, evidence about the diverse ways governing bodies in the different types of school in England carry out headteacher performance management is lacking. Moreover, little is known about the ways in which the performance management of the headteacher shapes overall school performance, including the work of teachers and student learning and development, or how this relates to performance management in the school as a whole. Such knowledge is especially crucial given the evolving structure of the educational system and the shifting relationship between the state and schools in England and elsewhere. To address this gap in knowledge, the London Centre for Leadership in Learning at the Institute of Education (IOE), University of London; the University of Bath; and the University of Cambridge were commissioned by the Department for Education (DfE) to undertake research into the effective management of headteacher performance.

Aims and Objectives

The nine-month project commenced in December 2012 and was designed to:

1. identify and characterise ideas, approaches and key debates around effective performance management (PM) practices for senior managers/leaders in educational and other settings.

2. assess the relevance to school contexts and the governing body of the characteristics of effective senior manager/leader performance management and the effective management of senior managers/leader underperformance.

3. identify specific challenges to the implementation of headteacher performance management and management of headteacher underperformance.

4. highlight managerial responses for overcoming barriers to putting in place and sustaining effective headteacher performance management and management of headteacher underperformance.

5. render vivid portraits of implementation of effective practice in a range of school settings selected to highlight key issues in leadership and management related to effective headteacher performance management and the management of headteacher underperformance by governing bodies.

6. elaborate the implications of objectives 1-4 for the leadership development for chairs, governing bodies and headteachers involved in designing, putting into

place and sustaining effective headteacher performance management and the management of headteacher underperformance.

Research Design

The research design encompasses four overlapping phases. A detailed discussion of research design and methods appears in Appendix A. The phases are as follows.

- **Phase 1 -** An initial scoping exercise mapped the characteristics of effective PM of senior leaders, identified acknowledged barriers to successful implementation, and drew out core lessons for leadership and management through a synthesis of 56 publicly-available works selected from an initial pool of 116 drawn from academic and non-academic sources.

- **Phase 2 -** The emerging findings around effective practices were used to explore current actual practice and barriers to implementation through: a) 13 face-to-face and telephone interviews, and b) 2 national online surveys of chairs of governing bodies and/or governors with responsibility for managing the performance of the headteacher (April 2013, n=1,069) and headteachers (July 2013, n=147).

- **Phase 3 -** Based on initial analyses of surveys, interviews and the literature, we developed a sampling frame for identifying 20 case studies of schools and school groups around the country. The study includes cross-case comparison of all 20, along with in-depth analysis drawing upon 10 stand-alone case studies and 12 vignettes of key themes identified in the case study data.

- **Phase 4 -** The findings from each of the preceding phases were used to produce the final report.

Framework and definitions

Performance management

The term performance management is used to describe the general process by which an employee and her/his line manager/boss evaluate the performance of the employee and negotiate objectives as well as developmental goals for a specific time period. A classic definition is one by Castetter (1976, p. 22):

assessments by a supervisor of a subordinate to draw conclusions about the performance of the subordinate to improve performance and to make decisions about terms of employment.

In the literature, performance management is commonly viewed as one of a number of important management processes that include financial, human resource and strategic management (Halligan, 2001). Performance management varies considerably and terms used to describe it--'performance management', 'appraisal' and 'review'--are often used interchangeably. The names that are given to managing the performance of education professionals have varied over time - staff appraisal, performance review or teacher evaluation being the most common. In September 2000 the Department for Education and Employment (DfEE) replaced 'appraisal' with 'performance management' (DfEE, 2000) in guidance to schools.

Because the process of performance management varies, it can be difficult to draw out what is meant by the various terms used in the literature. Some writers use the term 'appraisal' interchangeably with 'performance management', and often as an umbrella term to refer to the process whereby teachers (and headteachers) are evaluated in respect of their effectiveness. A recent National Governors Association and Co-ordinators of Governors Services (NGA/COGS) 'Knowing your school' brief identifies appraisal as one aspect of performance management in the following way:

> Appraisal is one part of continuous year-round staff performance management or development. It is a key part of the annual cycle by which the performance of the staff of the school is assessed and developed. Most performance management/development cycles will include an annual appraisal meeting, at which the appraiser (or in the case of the headteacher, the appraisal panel) and the member of staff being appraised meet to discuss performance against the objectives set at the beginning of the year. Many cycles will also include a mid-year progress review.

> National Governors Association and Co-ordinators of Governor Services, 2013, p. 4

The term performance management, then, conveys the broader sense of a manager taking responsibility for a subordinate's proper performance in the organisation. Arguably that is not an annual 'one-off' event, nor is it simply displaying managerial responsibility. Such narrow views of the process omit what we term the strategic leadership of performance management or 'performance leadership' where the manager has a clear vision of the state of the organisation and where it needs to go, and uses this vision to assess, motivate, support, and enable an individual's everyday 'performance' towards fulfilling that vision. A governing body that exhibits 'performance leadership' in its management of the headteacher understands the health of the school and the direction the headteacher is taking it and takes strategic action towards assessing and supporting the headteacher to achieve organisational aims as well as promote the individual development of the headteacher towards accomplishing those aims.

Performance leadership entails crafting a strategic balance among four distinct objectives of performance management for both the individual and the organisation:

- development
- performance
- potential
- rewards

Kyriakides and Demetriou divide these multiple purposes into two key categories: 'accountability' being 'typically summative' and 'determin[ing] competence' versus 'improvement' being 'typically formative in nature' and reflecting the need for CPD' (2007, p. 46).

Our case studies revealed that schools identified as following good practice addressed accountability through headteacher *performance appraisal*. Many of our case study schools combined individual accountability along with individual and organisational development to integrate the processes of headteacher appraisal into broader processes of managing the headteacher and the school through the astute use of performance information. We consider this more holistic approach and integrated use of performance information to be one hallmark of effective performance management, which encompasses a robust focus on headteacher accountability but combines it with wider processes of management and governance. The distinction between appraisal of the headteacher and a more encompassing application of headteacher performance management is a matter of emphasis and scope, the elements of which are highly contingent on context. One crucial distinction is that effective headteacher performance management can only occur when there exist explicit practices and shared understandings around the use of performance information for the overall management of the school.

Accurate, clear and timely performance information is a foundational element of PM. Performance information enables managers to understand the state of the organisation and the contribution of the individual to that state as well as helping managers to make strategic decisions about future states. Another way of defining performance leadership is the effective integration and use of performance information for decision-making (Bouckaert and Halligan, 2008, p. 28; Van Dooren, Bouckaert and Halligan, 2010, p. 30).

The use of performance information to manage individual performance makes little sense unless the process is tethered to operational and strategic processes across the organisation. Bouckaert (2010, p. 37) elaborates a framework of performance management that ranges across five levels of increasing sophistication of use and integration with core organisational processes.

- **Pre-performance**: expectations of performance are generalised and diffuse, with goals that are not defined in terms of performance

- **Performance administration**: ad hoc commitment to a focus on performance; performance measurement technically-oriented and instrumentally applied (ie tick-box and other administrative procedures not linked with performance improvement)

- **Managements of performance**: the link between management and performance improvement is established but concurrent systems are in operation (e.g. headteacher and teacher performance management unrelated)

- **Performance management**: distinctive features of coherence across the organisation, integration with other management systems, consistency across uses, convergence around explicit organisational goals, and comprehensiveness

- **Performance governan**ce: broad span and depth of control that encompasses system-wide coherence, integration, consistency, convergence and comprehensiveness.

<div align="right">Bouckaert and Halligan, 2008, p. 37-39</div>

This framework outlines levels of increasing maturity, the final two of which clearly require 'performance leadership' to move beyond technical application and achieve strategic coherence across the organisation. The most advanced level in the model, that of 'performance governance', may require leadership beyond the scope of an individual school or even a group of schools. Performance governance is dependent on societal convergence around expectations of governing bodies, schools and those who work in them. This model is useful for understanding particular organisational contexts as well as identifying what is missing in the ways the management of performance is addressed in those contexts.

A framework for performance management

In this report, we use four major headings — governance environment, procedures, use of outcomes and capacity — as a way of categorising significant issues. The headings are adapted from the OECD's (2013, p. 495) 'Conceptual framework for school leadership appraisal'. Under each of these headings are special topics that we elaborate and illustrate through the empirical work we carried out as part of the research.

Governance environment

- external coherence: governing context, including school relationship to local authorities (LAs) or multi-academy trusts (MATs); important links to resources and expert networks (NLE, NLG)

- internal coherence: setting of requirements and distribution of responsibilities for design; responsibility for evaluation, oversight and quality assurance (QA)

Procedures

- features of performance management system

- objectives as indication of priorities: setting of objectives; use of standards (National Standards for Head Teachers, Teacher's Standards, other standards) in setting objectives; span of objectives — organisational (monitoring, feedback, performance-related pay), individual (professional development, career progression); overlap between the two; measurement of objectives (translating objectives into information); quality and integrity of measurement; span of information sources; depth of information

- formal procedures and processes: development, planning and execution; tools (e.g., 360-degree feedback, leadership portfolio, observations, staff and student questionnaires); monitoring achievement of objectives; monitoring and evaluation of formal procedures; evolution of procedures and reasons for change

- informal procedures and processes: securing headteacher involvement; headteacher-chair relations; role of external advisor; securing other stakeholder investment; adaptation and development of system; ability to challenge; ability to support

- correspondence between headteacher performance management procedures and performance management of other staff

- poor performance, challenging conversations

Use of outcomes

- mechanisms that ensure use of results from process: giving performance feedback in terms of ongoing development, employment status, career progression and rewards

- Examples: pay – performance connection; developmental focus – individual headteacher, addressing headteacher marginal performance; developmental focus – organisation; connection with teacher and support staff PM

Development of organisational capacity for effective performance management

- distribution of responsibilities for implementation, preparation, execution

- succession planning to ensure continuity or evolution of process

- necessary competences of evaluators and school leaders to develop and carry out headteacher performance management effectively

- making use of results from self-monitoring, governing body evaluation to identify areas of difficulty and refine, adapt and innovate headteacher performance management procedures

- training, mentoring and other development of capacity (governing body, headteacher, other stakeholders) to use results effectively

Reciprocal Accountabilities

In undertaking the research we were aware of the 'accountability problem'.

Onora O'Neill (2013), drawing on her widely-discussed Reith Lectures of 2002, argues that 'More accountability is not always better, and processes of holding to account can impose high costs without securing substantial benefits' (p. 4). Among the most costly features, according to O'Neill, is the distortion of professional sensibilities and the consequent and enduring shifts such distortion introduces for professional integrity. O'Neill argues that 'intelligent accountability' requires 'more attention to good governance and fewer fantasies about total control' (ibid). Michael Fullan (2010) cites 'intelligent accountability' as one of 7 'Big Ideas for Whole School Reform' noting:

> The failure to get accountability right plagues all reform efforts... Intelligent accountability involves a set of policies and practices that 1) actually increases individual, and especially collective, capacity so that shared responsibility carries most of the weight of effective accountability; 2) makes internal and external accountability almost seamless; and 3) leaves external accountability to do its remaining, more manageable task of necessary intervention. (p. 27)

Intelligent accountability ensures that the ends and means of accountability are closely tied to the needs of children, the educators who work with them and the organisations in which that work takes place. As Fullan highlights, the context of schools demands 'intelligent accountability' at two levels, internal and external. External accountability consists of responsibility to address public demands for organisational performance in such areas as pupil attainment, attendance and expected progress. Typically, failure to comply entails serious consequences, such

as the imposition of special measures and demands to meet requirements imposed from the outside. Internal accountability comprises systems developed by schools themselves to gather information, set standards, evaluate compliance with standards and deliver consequences (Newmann, King and Rigdon, 1997). In his statement above, Fullan makes implicit reference to nearly three decades of educational research that has highlighted the importance of internal accountability as a necessary foundation for effective external accountability. Educational researchers Elmore and Fuhrman (2001) in surveying a wide range of studies conclude:

> A school's ability to respond to any form of external performance-based accountability is determined by the degree to which individuals share common values and understandings about such matters as what they expect of students academically, what constitutes good instructional practice, who is responsible for student learning, and how individual students and teachers account for their work and learning. (p. 68)

In subsequent work, Elmore (2004) elaborated the notion of what he called 'reciprocal accountability', emphasising the mutual responsibility shared by the educational system, the schools that comprise that system and the individuals at work in those schools. In terms of external demands, reciprocal accountability meant that: 'For each unit of performance the system demands of the school, the system has an equal and reciprocal responsibility to provide the school with a unit of capacity to produce that performance.' (p. 244-5)

Reciprocal accountability also holds for internal accountability. In this view, the employer is accountable, as well as the employee, as a means of reinforcing the mutual dependence of organisation and individual in the promotion of organisational development. For example, reciprocal accountability implies a broader, developmental view of the uses of PM as a tool for fostering professional and organisational growth, rather than merely a means for justifying the reward or denial of increments of pay. This broader, developmental view of the potential of PM and accountability in the system of schooling serves as a leitmotif throughout the report.

The Structure of the Report

Following this introduction, Chapter 2 reviews the significant themes in the literature on PM, which we elaborate alongside the major themes raised in interviews with experts conducted for this study. Chapter 3 then reports the main themes in our fieldwork, drawing on the 20 case studies and the quantitative data from the questionnaire surveys of chairs of governors and headteachers. In Chapter 4 we review and discuss the significant issues to emerge and in the final chapter,

Conclusions, we summarise the main findings and offer a number of recommendations.

We have included a number of appendices. Appendix A provides more detail about the research design and methods used. Appendix B includes summary statistics for each item of both the survey of governing bodies (B.1) and of headteachers (B.2). Appendix C gives information about the case studies we conducted and gives a table of stand-alone cases, the case outline we have developed and an illustrative stand-alone case. Similar information is provided for the vignettes, along with an illustrative vignette. In the final appendix is a list of the sources selected for systematic review.

Chapter 2: The effective management of leadership performance - key ideas, approaches and debates

Introduction

The performance management (PM) of senior leaders in education has a growing body of knowledge, mostly practical and some theoretical, associated with its practices. What is clear from the literature is that when it comes to managing performance, one size does not fit all. The following short overview synthesises the emerging ideas, approaches and debates that have particular relevance to headteacher performance management (HTPM) in England. In this review, we also draw on the interviews we conducted with professionals knowledgeable about the design and implementation of performance management in the private, public and third sectors. The review addresses four questions:

- What are the key ideas, approaches and debates about performance management and appraisal of senior leaders that are of greatest relevance to headteacher performance management in England?

- What are the implications of ideas, approaches and debates for enabling consistently strong headteacher performance?

- What are the implications of ideas, approaches and debates for addressing underperformance in schools in England?

- What are the key points for training and development of governors?

This review aims to present some of the key debates and findings that are most important to the national context of England and within that context articulate the issues, debates and practices that might apply. It does this by addressing each question in turn, and then discussing particular themes that are most relevant within each question. It also draws out the implications for the implementation of effective headteacher performance management in schools, as well as the training and development of those involved in overseeing performance management of headteachers.

1. What are the key ideas, approaches and debates about PM and appraisal of senior leaders that are of greatest relevance to headteacher performance management in England?

Governance environment

The study takes place within the context of an educational system undergoing rapid and far-reaching change in fundamental assumptions about school governance and expectations of school governing (Academies Commission, 2013). The Education (School Teachers' Appraisal) (England) Regulations 2012 set out the legal framework for the appraisal of teachers and headteachers and apply to all maintained schools, including maintained special schools, and to local authorities in respect of unattached teachers. The regulations do not apply in academies, free schools, other independent schools, or sixth-form colleges although they are free to use them if they wish. The growth of academies and free schools and the proliferation of different groupings of schools, including federations and multi-academy trusts (MATs), has emphasised the need to parse multiple systems of accountability (Hooge, Burns and Wilkoszewski, 2012). The dynamics of evolution require governing bodies (GBs) to take increasing responsibility for oversight. Amongst the three 'imperatives' set forward by the recent report of the Academies Commission was the following:

> The role of governors is more important than ever in an academised system, and their scrutiny and challenge should ensure effective accountability. (Academies Commission, 2013, p. 5).

In the context of the governing of schools and headteacher performance management, it is especially important to note that some information will be more significant to some stakeholders than others – hence the tensions between accountability and motivation of individuals. This will also mean managing different priorities for different stakeholders.

The importance of priorities: defining objectives

Educational systems in general are beset by conflicting priorities. The current state of reform in many national systems of education, including England, means that the debate about priorities is of central importance to the governing body of even the smallest primary school. In terms of managing the headteacher, priorities will drive how the headteacher's performance is perceived by the governing body. Discussion of priorities is especially vital given the common lack of clarity between performance-

related management practices in general and appraisal as a particular management activity.

Our interviewees in education emphasised that the conflation of the two often led to a constrained view of the benefits and potential of performance management as practiced in education, narrowing possibilities down to the particular management activity of individual appraisal. Moreover, the 'achievements' of significance are also commonly narrow, all too often depending on priorities of performance that have more to do with external accountability than with internal organisational coherence or the development of individuals within that organisation. As we highlight in the penultimate section, the relationships and culture of the organisation are very important in how performance information is taken up in management practice.

> Understanding and debating priorities is of central importance to the governing body and their appraisal of the headteacher. Discussion and clear relationships are vital.

The contextual sensitivity of performance management as a management structure resonated across interviewees. For example, a senior executive, not in education noted:

> The process is all about specifying goals – things that are internal to the organisation, then looking at things that are relevant to the wider system. It is a case of looking at what you can control and therefore performance manage, and those things that pull and push the budget, and for which one person cannot be accountable. There are issues externally over which a leader has no control, and they have to find a way of dealing with them that is important in the external agenda.

Whilst one in education stated that:

> Culture is an important dynamic so that governors and head can have an open, frank discussion. The head also needs to lead by example in terms of how s/he performance manages the senior team. Any system of performance management needs to be an overall coherent approach throughout the school.

Finally, all the strands of performance management are affected by demands of external accountability which has driven emphasis on particular types of performance information. Voluntary governing bodies are experiencing more responsibilities and greater calls for accountability for which they are receiving even less dedicated training, unlike other public and private sector groups. This potential narrowing of the span of what counts as 'performance' comes at a time when there is

a growing diversity of school types, so no one approach to managing the performance of senior leaders could ever hope to encompass all, even under a constrained interpretation of 'performance'. Such responsiveness to context was a theme echoed by interviewees across sectors.

The implications of these debates about the approaches are taken up in the literature in various ways, but can be divided into:

- priorities of performance management
- translation of activities into performance information
- incorporation of performance information into management systems
- uses and limitations of systems of performance management

All of these strands are important. Priorities drive the quantitative and qualitative measurement of performance, resulting in a variety of performance information. However, this performance information needs to be integrated into leadership management systems in various ways before it can be used effectively. The span and depth of incorporation with other management practices and across the organisation indicates the degree of institutionalisation of performance management systems. Finally, the incorporation of the results of performance management into organisational processes relates to the broader *uses* of performance management within an organisation (eg determination of pay, communication of priorities, stakeholder engagement). Uses may also highlight unintended consequences when performance management results in unintended influence, distorting priorities and redirecting resources, as O'Neill (2013) warns when speaking of the 'assessment tail' wagging 'the education dog' (p. 4).

> Separate and different understandings of performance management are problematic, and will involve managing the inherent tensions between accountability and improvement. Management processes that aim at performance are absolutely tethered to organisational and societal priorities, and can be delivered through clear processes and the managing of relationships in schools.

The institutional processes through which performance management is defined and enacted are crucially important. Initiating and sustaining robust management systems is a key element because of the widely varying contexts of schools as organisations. These have to do with external variation, in terms of demographics and community relations as well as organisational characteristics that include educational mission, organisational structure and internal dynamics.

There are clearly levels and degrees of organisational incorporation of performance management (Bouckaert and Halligan, 2008, p. 37). Davis, et al., also notes a wide variability in 'processes, policies, features and foci' (2011, p. 6).

Individual and organisational context

One of the most widely acknowledged considerations of robust incorporation of performance management for senior leaders is the primacy of context. Successful performance management hinges on the conditions in which it is carried out. These conditions, moreover, are not static processes that can be clearly delineated and universally taken into account; performance management itself is a 'social process that takes place in a political and administrative context' (Van Dooren, Bouckaert and Halligan, 2010, p. 11).

Moreover that context is multilayered, in addition to multidimensional. It is multilayered in the sense that contextual variation can be expected:

- in terms of the individuals involved
- the local organisation
- the community/region in which that organisation sits
- the wider national system of education in which the school operates

Structural changes in the educational system lead to a paradox of both a more relaxed approach in terms of what is prescribed but a tighter focus on objectives and the relationship of objectives to pay generally in the system. Interviewees in the third sector noted that the external environment in which people are operating is under similar and opposing pressures - scarcity of resources along with an increased emphasis on outsourcing service delivery.

These considerations of the external environment lead to a perfect storm of sorts. Just at the moment the system most needs to support the development of all involved, the pressures on PM systems operate in an opposite direction, one animated by externally-derived and narrowly-defined performance targets, taken up in largely instrumental ways that do little to develop robust, internal organisational accountability and secure the sustained development of individual and collective capability (Wallace Foundation, 2009, p. 3).

The above necessarily entails close attention to individual and organisational context. Individual context refers to the experience and background of those who use performance management whether for their own appraisal or for the appraisal of others. Several sources noted the need for a flexible and dynamic structure to performance management that takes into account different career stages:

> A novice leader has different needs from a seasoned leader, and each requires different feedback to further his or her skills. Such adaptations to different career stages don't suggest that the central work is different – but the content, timeliness, and attendant support provided should match the different needs of new and more veteran school leaders.
>
> <div align="right">Wallace Foundation, 2009, p. 8</div>

Organisational context refers to phase, socio-economic status (SES) of pupils and surrounding community; and the historical and political dynamics of school-community relations. Thus, effective PM is not just about 'What works?', it is about 'What works when and under what circumstances?'.

Moreover, improvement of the system itself demands additional understanding: 'Why what works actually works?'. Interviewees in different sectors noted the variability of organisational context; no 'one size fits all' model exists. It is important to view PM not as a machine that simply requires a coherent 'user's guide' to implement. This entails a strong focus on developing flexible and adaptive PM systems.

The structure of the performance management system

As Davis and colleagues note, 'The quality of the process is more important than integrity of measures' (2011, p. 13). Most public sector interviewees emphasised that the performance management process is all about specifying organisational goals – things that are internal to the organisation, then looking at things that are relevant to the wider system. Education interviewees noted that this could cause tension for inexperienced governors, who might not have access to external advice. External advice for non-executive bodies such as governing bodies is a requirement of law but interviewees emphasised that the quality and relevance of the advice and the extent to which external support is incorporated into management structures is a perennial issue. As such, effective incorporation rests on how this advice is selected, monitored and evaluated, which adds an additional layer of complexity to the system.

As a way of illustrating the complexity of an effective performance management system, we refer to a well-regarded 'Practical Guide to Designing Comprehensive Principal Evaluation Systems' recently developed by the US-based National Center for Teacher Quality. The guide outlines 8 crucial components that encompass 9 elements:

- 1a: Specifying evaluation system goals
- 1b: Defining principal effectiveness and establishing standards

- 2: Securing and sustaining stakeholder investment and a strategic communication plan

- 3: Selecting measures

- 4: Determining the structure of the evaluation system

- 5: Selecting and training evaluators

- 6: Ensuring data integrity and transparency

- 7: Using principal evaluation results

- 8: Evaluating the system

Clifford, Hansen and Wraight, 2012, p. 2

The guide is intended for officials at the level of state and local authority for designing robust systems across the schools under their purview. In England, oversight falls to the governing body of the individual school or the trust of a group of schools. This devolution of responsibility amplifies the need to secure stakeholder involvement and investment around performance management systems. Interviewees both within education and outside noted how senior leaders 'attach greater significance to the process when [it is a] product of collaborative effort and when evaluation standards and expectations are explicit', collaboratively developed and agreed upon. The collaborative development and explicit elaboration of effective systems is of particular importance when considering the span of performance information that will be embraced.

The uses of performance management

In the sections above we have broadly characterised ideal features of effective performance management of senior leaders that include priorities that target the mutual development of individual and organisation, involve a spectrum of sources of robust information on performance, and are integrated across management practices in the organisation. The history of the fate of management systems makes clear that the 'best laid plans' rule amply applies to performance management. Van Dooren, et al., (2010) develop a simple heuristic that distinguishes *adoption*, the design of structures, from *implementation*, the uses of those structures. Their matrix includes four characteristic ways that performance management is taken up in practice, ranging from non-existent to robust.

	Low adoption	High adoption
Low implementation	No PM	Outward oriented PM
High implementation	Inward oriented PM	Full PM

The above begins to sketch a spectrum of characteristic ways that performance management is enacted; from those that rely on tacit knowledge, to those that are only instrumentally integrated with overall management structures, to those that are a robust part of ongoing decision-making across the organisation.

These levels of integration are more clearly delineated in Bouckaert (2010, p. 37), which elaborates a framework of performance management that we have already presented in chapter one.

- **Pre-performance**: expectations of performance are generalised and diffuse, with goals that are not defined in terms of performance

- **Performance administration**: ad hoc commitment to a focus on performance; performance measurement technically-oriented and instrumentally applied (i.e., tick-box and other administrative procedures not linked with performance improvement)

- **Managements of performance**: link between management and performance improvement established but concurrent systems in operation (e.g. headteacher and teacher performance management unrelated)

- **Performance management**: distinctive features of coherence across the organisation, integration with other management systems, consistency across uses, convergence around explicit organisational goals, and comprehensiveness

- **Performance governance**: broad span and depth of control that encompasses system-wide coherence, integration, consistency, convergence and comprehensiveness.

This section has briefly reviewed what sources have been identified as key features of performance management systems. We began with an examination of the importance of explicit priorities and the close connection between priorities and the kinds of information used to gauge performance. We concluded by looking at a spectrum of ways that performance management systems might be integrated with

overall management and governance. It is the implication of these as practiced in English schools and as used to align leadership actions to the wider educational mission of the school and society, that we turn to next.

2. What are the implications of ideas, approaches and debates for enabling performance leadership?

This section elaborates a handful of themes from our interviews and review of sources that were associated with the promotion of strong headteacher performance. The themes include:

- the relationship of priorities with performance objectives

- performance-related pay

- developmental perspectives on performance

- stakeholder communication.

Priorities and performance objectives

A wide range of literature across sectors clearly identifies the importance of careful and clear articulation of priorities so that there is clarity about the ways that PM can boost headteachers' work and aid school performance: a way 'to pinpoint where his or her actions are effective or in need of improvement' (Wallace Foundation, 2009, p. 9)[2]. Clear priorities enable the articulation of clear performance objectives. Even when priorities are explicit, their articulation may be limited by a constrained view of performance. That view is typically one that focuses on summative rather than formative performance. Considering a wide range of performance addresses the *span* of performance; moving beyond a sole focus on summative to formative considerations embraces the *depth* of performance.

A focus on performance prioritises:

- its summative uses to evaluate an individual for specific personnel decisions, such as selection, placement, retention and termination (personnel management functions).

- emphasis on 'formative' priorities that pinpoint where a leader needs to grow and learn (professional learning functions).

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[2] For maintained schools in England, the Teachers' Standards (2011) establish the minimum requirements for headteachers' practice and conduct, according to the 2012 School Teachers' Appraisal regulations.

- enabling a way to measure how a larger school or system is progressing on strategic plans (organisational improvement functions) (Wallace Foundation, 2009, p. 7).

These three functions - personnel management, professional learning and organisational improvement - entail different kinds of information, depend on varying degrees of incorporation and entail different uses for decision making. This is where governors may have most difficulty in approaching the nuances of information available.

Approaches to senior leader performance management go into great detail about the span of priorities that are necessary to consider, with the greatest attention drawn to elaborating clear priorities in the area of organisational improvement. The literature on priorities for school leaders in the US pays particular attention to priorities related to 'leading for learning'. Clifford, et al. (2012), for example, lay out six areas, which combine the professional learning of the headteacher with organisational improvement:

- professional growth and learning

- student growth and achievement

- school planning and progress

- school culture

- professional qualities and instructional leadership

- stakeholder support and engagement.

Clifford, Hansen and Wraight, 2012, p. 12

Elsewhere, the OECD report on school leadership (Pont, Moorman and Nusche, 2008) identifies four major 'domains of responsibility' which should be considered in managing the performance of senior school leaders:

- supporting and developing teacher quality

- defining goals and measuring progress

- strategic resource management

- collaboration with external partners. (p. 19)

This emphasis on organisational improvement clearly reflects the straightforward management function of the senior leader ('strategic resource management'), and also the developmental function of a leader capable of supporting the growth of those under their charge. The communicative function of working with the wider range of external partners, including the governing body, is seen as vital for the smooth functioning of the school (see below). Several commentators (Elmore, 2008;

Mulford, 2003; Pont, Moorman and Nusche, 2008) make explicit reference to the necessity of considering professional learning and organisational learning as a complex whole:

> Scholars are now suggesting that an essential function of school leadership is to foster 'organisational learning', that is to build the capacity of the school for high performance and continuous improvement through the development of staff, creating the climate and conditions for collective learning and thoughtful use of data to improve curriculum and instruction.
>
> Pont, Nusche and Moorman, 2008, p. 25

This would suggest the indivisibility of headteacher performance management from the performance management of other staff as well as a focus on performance throughout the organisation. Nonetheless, interviewees noted that all too often the management of HTs' performance was not indivisible but invisible, literally out of sight of others. This resulted in performance management being viewed not as an organic feature of the organisation in the service of improvement, but something 'done to' staff, as a ritual of management.

> The effective interleaving of individual with organisational priorities holds the potential of harnessing the development of individual capacity in ways that permit the organisation to flourish as well.

Performance-related pay

There is potential for a coherent focus on performance to be an important tool of management. However, the idea of linking pay to an individual's performance at work was viewed as a problematic incentive. Performance-related pay is a practice commonly found in the private sector; its form may vary slightly from individual performance related pay and may include such things as profit-related pay, team based pay and/or competency pay (linked to skill acquisition). When a rewards review or pay linked to performance is introduced, there is much debate in the literature, (Moore, 2013; Tomlinson, 2000; Wragg, 2004); and little evidence that it works successfully in either the private or public sectors.

Research into performance related pay (PRP) in the UK, India and elsewhere, shows that it does not have a significant motivational impact on public sector workers, including teachers (Richardson, 1999; Tomlinson, 2000) despite the fact that employees themselves often believe that there should be a link between reward and performance on the job.

The debate about PRP has recently been re-kindled with the government's acceptance of the recent report from the School Teachers' Review Body (2012, see also Sutton Trust, 2013, on linking teachers' pay to results) and guidance from the DfE on implementing the new PRP arrangements was made available to schools in spring 2013 (Department for Education, 2013).

Interviewees saw governors having in general a lack of guidance on setting objectives and the links to pay. How should these aspects be communicated to governors, and by whom? Some respondents, mainly in the public and third sector, reported that PRP was not viewed as a useful way of incentivising people in the public sector. Indeed, one believed that it often disincentivises: the consequences of the negative feelings of those people who feel disappointed or aggrieved outweigh the rewards to others.

Moving from performance appraisal to performance management brings in a gamut of relationships and dependencies that are central if the process is to bring benefits to both the person and the organisation as a whole. Most of the interviewees noted that the whole approach to PRP combined with performance management is driven by the people at the top and the culture of the organisation. As one interviewee remarked: 'I am sceptical about the value of PM and especially PRP at the whole organisation level.(…) I've never encountered anyone that's been incentivised by it.'

Developmental perspectives on performance

Performance management, as noted earlier, has always emphasised individual and organisational development alongside accountability. Headship is a demanding job (Crawford and Earley, 2011; Earley *et al.*, 2012; Galton and MacBeath, 2008), and the demographic time bomb of early retirement adds pressure to an already difficult situation. Maintaining a good supply of high quality people is crucial for system level improvement, but so is talent spotting and personal development for HTs in post. Hartle and Thomas (2003), in a report for NCTL (then the National College for School Leadership) argued the case for strategic leadership development, and more attention to the factors that made a difference in realising potential, and not just relying on chance, or time in the system, to produce the leaders of the future. They argued that identifying latent talent and/or providing development opportunities can bring potential impact to the whole system, and particularly recommended mentoring and coaching. Our interviewees concurred with this. One noted: 'The PM process looks at what has been achieved but also how objectives were achieved (i.e. skills, traits and behaviours)'.

Another in the health service noted that the NHS leadership academy approach was to look at talent management, as part of the appraisal process which also has a

performance element. They looked at good practice in the private sector and are now trying to apply it to the NHS. For instance, in the private sector it is suggested that CEOs should be spending up to 80% of their time looking for talent, their next leaders for the organisation. The ideal would be that every staff member should have an appraisal and talent conversation to identify leadership potential. This kind of approach puts an emphasis on empowering the individual, rather than just organisational targets. One, who had spent a whole career in the performance management area said:

> If you have someone who is interested in leadership and management they do performance management well, and that cascades down their part of the organisation, so you have a whole silo where everything works well.

One important aspect of a developmental perspective on performance that resonates in the evidence reviewed as well as from interviews across sectors has to do with the idea of reciprocal accountability, which we discussed in chapter one. A recent debate in the literature has been around finding an appropriate mix of types of goals. Seitjs and Latham (2005, p. 124) argue that: 'performance or outcome goals can have a deleterious effect on one's performance'.

They conclude that where increased effort and persistence are necessary, prioritising performance may have the desired effect. However, in many instances what is required is a mix of knowledge and skills along with persistence and effort. In such cases, 'a specific challenging learning rather than an outcome goal should be set' (p. 124).

> The idea of reciprocal accountability points towards the developmental potential of PM that can occur simultaneously across individual and organisational levels.

The sources reviewed, and interviewees, noted that the system of headteacher performance management depended on comprehensive and consistent approaches to performance management throughout the organisation. For example, the 'Monitor Competency Framework' (Monitor and PA Consulting, 2012) described below is not only used for performance management in the health sector but also provides a point of reference to assist recruitment, learning and development and career progression within Monitor itself.

The Monitor framework lists the skills and behaviours expected at four job role levels across the organisation:

- 1: Executive
- 2: Managerial

- 3: Advisory and/or Supervisory
- 4: Administrative.

Enabling high quality chief executive/headteacher performance as a component of managing performance is about development, talent spotting and the importance of attention to priorities. The Monitor framework and our earlier discussion highlight the interconnection of individual and developmental priorities that the effective management of performance entails.

Stakeholder communication

Stakeholder communication and engagement is often underappreciated in the management of school leaders' performance. It is all too easy to miss aspects of headteacher performance management if the frameworks for that are not clear. A good example of a framework, from the health sector, is the Monitor Competency Framework (Monitor and PA Consulting, 2012) which has six areas, with outcomes for each. These are:

Leadership and people management - Provides a clear sense of purpose and direction, gets the best from people, exhibits the values of Monitor and creates a culture of excellence.

Communicating and influencing - Clearly and concisely delivers messages through the most appropriate channel for the audience in an open, timely and appropriate fashion.

Collaboration - Works collaboratively with colleagues across Monitor and with our external stakeholders to share information and deliver mutually agreed outcomes.

Strategic perspective - Sees the big picture - plans and organises work in the wider context of what Monitor is aiming to achieve for patients (students).

Delivering results - Focuses on delivering high quality results in everything you do.

Change and continuous improvement - Thinks positively about new ways of working, suggests improvements and is forward thinking and adaptable. (p. 5)

The first three of these all point to the development of advanced 'people skills', without which the final three could not be carried forward. Interviewees in both education and the third sector emphasised how crucial effective stakeholder communication was to leadership in schools.

One relationship, in particular, was regarded as pivotal. Interviewees repeatedly spoke of the centrality of the chair/headteacher relationship for effective performance management. This was viewed as background to all else. Interviewees identified the need for an ongoing conversation over time. The formal performance management occasions should not stand alone but be supplemented by opportunities to keep the headteacher's targets on the agenda.

In tandem with the governors being able to manage the process, interviewees noted that the headteacher needs to be adept at stakeholder management and be aware of the politics of the process. One interviewee suggested that this dialogue should be values-based, what is best for children and for the school in serving children. This is difficult when, as others pointed out, the current climate places most emphasis on accountability rather than development. Chairs of governing bodies need a wide range of interpersonal skills. One interviewee suggested that chairs should be assessed in order to check whether they are able to carry out this process well. These are common tensions in the current system as highlighted recently by HMCI (Coughlan, 2013).

3. What are the implications of ideas, approaches and debates for addressing underperformance in schools in England?

The literature broadly points to the need to develop robust performance management systems across the organisation in order to draw a clear line between the management of performance and capability procedures (see for example, Fair Work Ombudsman, 2013; United Nations, 2011). Several interviewees considered that underperformance was often only addressed when there was a crisis; in education, this was most frequently a disappointing inspection report. One of our interviewees from outside education said, 'PM offers a structured process that actually detracts from addressing difficult issues.'

Issues are not tackled at the time they occur because people tend to leave them to be addressed through the performance management process. Governors need training to have difficult conversations. Holding CEOs/headteachers to account becomes difficult when governors do not realise problems with the capability of the headteacher. Many of the interviewees suggested there is an overarching issue about whether this is indeed a useful way to address capability if you want to do positive, forward thinking management of performance well, e.g. talent management.

Resoundingly, the interviewees and the sources reviewed portray effective performance management as a pro-active means of managing underperformance.

We know from the discussion in the literature about performance priorities that performance management approaches are most effective when rooted in clear expectations of performance that are aligned with the goals and needs of individuals, organisations and communities (Clifford and Ross, 2012; Davis, Kearney and Sanders, 2011). However, research into the performance management of senior school leaders in the UK, North America and elsewhere highlights the paucity of a well-developed architecture of performance information (Condon and Clifford, 2010; Goldring *et al.*, 2009; Heck and Marcoulides, 1996).

One interviewee emphasised the importance of having the same criteria for people throughout an organisation, with an expectation that they might be met at different levels:

> People need to be clear what's expected, what's the standard, house rules, what is and what isn't acceptable.

Thus, our attention now shifts to clarifying the state of the art in relation to articulating standards for practice that not only clarify what counts as exemplary individual and organisational practice but also points towards effective means of getting there.

The emphasis on senior leader performance management in national educational legislation in the United States has propelled the widespread adoption of learning-based leadership standards. Several commentators noted the broad adoption of standards such as ISLLC (Interstate School Leaders Licensure Consortium) (Wallace Foundation, 2009). The design features that commentators note as most important here relate to the identification of specific behaviours that are connected with improving student achievement and that orient principals to carry out needed changes in their schools (Wallace, 2009, p.2). The ISLLC Standards were designed to affect the leverage points of the profession – university programmes that prepare school leaders, government systems that certify them, and school systems that evaluate them.

Researchers contrast attention to specific leadership behaviours with existing measures that have aimed at leader's personality traits or school climate issues, rather than what principals actually do. As the Wallace report notes:

> Indeed, it is personal characteristics (for example, popularity, the volume of parent complaints, the quality of outside relationships) that often place principals on or off the radar screen of their supervisors, more so than whether their actions are improving learning.
>
> <div align="right">Wallace, 2009, p. 5</div>

As we know from interviews, the same applies to ways in which some governing bodies carry forward the evaluation of the performance of their headteachers.

The shift from attention to knowledge and traits to an emphasis on actual behaviours and actions is profound. One research-based approach to measurement that has received considerable support from practitioners and educational scholars in the United States is VAL-ED, an assessment instrument for senior leaders developed at Vanderbilt University. The lead author describes the focus of measurement as intending to capture: 'what leaders create and how they create it' (Goldring *et al.*, 2009 ; see also Porter *et al.*, 2008).

> The conceptual framework that drives our leadership assessment instrument focuses on two key dimensions of leadership behaviours. We refer to these two dimensions as core components and key processes. Our framework states that school leadership assessment should include measures of the intersection of these dimensions. We propose to assess the intersection of what principals or leadership teams must accomplish to improve academic and social learning for all students (the core components), and how they create those core components (the key processes).

> Goldring *et al.*, 2009, p. 4

A substantial body of North American research has gone into identifying the 'driver behaviours' that merit measurement. Such a combination of approaches is crucial given the distal relationships between what headteachers do and actual outcomes for students, and links to how approaches such as Monitor's work.

Establishing just what it is that leaders do to influence teaching and learning is a complex endeavour (Clifford, Hansen and Wraight, 2012). Consequently, mapping performance information to the complexity of relationships within the organisation is similarly complex. Tracing complex performances needs to be mirrored in the robustness and complexity of the information used to understand and evaluate those performances. In the UK, Southworth (2004) has discussed the impact of leadership on learning and drawing on the work of Hallinger and Heck (2002) refers to direct, indirect and reciprocal effects of school leaders. More recently, Day and colleagues have suggested that heads' 'educational values, strategic intelligence and leadership strategies shape the school and classroom processes and practices which result in improved pupil outcomes' (Day et al., 2009, p. 2). Leaders, they argue, 'improve teaching and learning and thus pupil outcomes indirectly and most powerfully through their influence on staff motivation, commitment, teaching practices and through developing teachers' capacities for leadership' (ibid, p.2).

They also refer to the importance of school culture and trust. How heads of schools in England lead teaching and learning is discussed further in Earley (2013).

> We often focus on the *validity and reliability* of information, the mapping of actual leadership behaviours that are known to be effective, to measurements that accurately and reliably capture performance relating those behaviours and their intended outcomes.

There are two additional design features of performance information – functionality and legitimacy - that are important to consider and which we note here briefly. A crucial design feature is *functionality*—the ways in which information is taken up into management systems. Functionality also relates to quality assurance and evaluating the integrity of measures and measurement.

Crucial for information related to the performance of senior leaders is a final feature of information, *legitimacy*. This refers to information that is transparent and accessible to stakeholders as well as authoritative. Legitimacy of information points to the political dimensions of performance management, a crucial consideration of the development of performance management systems. Interviewees noted that legitimacy was an important consideration when identifying the span of information that might be relevant to discussion of a senior leader's performance, not only how governors used data from DfE, Ofsted and other sources but whether they and the head could agree on the range of data to be incorporated, such as measures of school culture. The most effective approaches to performance management relied on collaborative (between headteacher and governing body) and dynamic (changing over time) identification of relevant indicators, a process that affirmed their legitimacy. We now go on to discuss the key issues for governing bodies and their development as effective managers of headteacher performance.

4. What are the key points for training and development of governors?

The preceding sections have pointed towards the complexity of the task and specific training and development needs. To recap briefly, some of the points previously addressed in relation to training and development include:

- understanding for one's own setting the implications of performance management as a comprehensive approach to individual and organisational development

- clarifying priorities and articulating the relationships amongst priorities, performance information and performance objectives

- appreciating, evaluating and overseeing headteacher performance management structures that take into consideration the mutual dependence between organisational and individual contexts

- negotiating tensions between talent management (ie developmental opportunities for the head) and organisational needs

- effectively managing expert external input (eg external advisers)

- initiating and sustaining a constructive and appropriately challenging relationship with the headteacher

- establishing clear objectives for performance-related pay and clarifying links with the structure of pay in particular settings

This brief list makes clear that the ability to knit individual and organisational developmental priorities together is a demanding and complex aspect of governing. Educational interviewees felt that the key issues entailed concern with how the whole process of headteacher performance management is managed by the governing body.

Although some governing bodies do this very well, there were too many cases, interviewees stated, where lack of experience in professional management and relevant support meant that governors were not able to undertake this competently.

Approaches to addressing the gap between the need, and the knowledge, skills and experience to address that need, depend on a close understanding of context. The way in which the priorities of headteacher performance management are set out in any one setting tends to mirror the way that the board perceives itself in relation to the headteacher. James and colleagues (2010, p. 9-11) outline three characteristic models relevant to the interaction between the model of corporate governance in schools and the ways in which 'effective' performance management may be perceived. Any particular governing body will not likely be aware of its modes of operating and the affinities with the ideal models described by James, et al. However, the 'manager in the mind' implied by each shapes consideration of training and development needs. The three models are: the principal-agent model; the stewardship model; and the stakeholder model.

The principal-agent model

This model formally recognises that the owners of companies, the shareholders or 'principals', are often separate from the managers of the company, the 'agents'. Company managers are seen to have an informational advantage over the owners because of this arrangement. Moreover, managers are assumed to act in their own

interests, which may not necessarily accord with those of the principals. The 'manager in the mind' of the principals is one who is:

- eager to take advantage when the circumstances arise
- likely to act in their own best interests when circumstances permit
- not be naturally motivated to act in the company's best interests

From this perspective, the primary goal of effective performance management is to reduce the degree of imbalance of information between the manager and the board and to control the manager. The board thus has a monitoring role. It receives reports from managers and establishes internal systems of accountability and reporting in order that the board (the principals) can control the operational management. The principal-agent model is a form of hierarchical governance.

In the principal-agent model, the board is to some degree at least independent of operational management so it can undertake the monitoring role. Boards may be eager to align the incentives of the agents with those of principals to encourage the agents to act in the principals' interests. The design and implementation of remuneration packages are likely to be important in aligning the interests of the board (the owners/principals) and the managers (agents). In a pure principal-agent model, the managers would not be members of the board. Such an arrangement would blur the principal-agent boundary.

The stewardship model

This model is often contrasted with principal-agent models largely on the basis of the very different sense of the 'manager in the mind'. This perspective on the manager conditions the assumptions on which this model is based. In the stewardship model, the manager is seen as:

- ready to act in the common good
- co-operative
- motivated to act wholeheartedly to meet the organisation's objectives.

Financial incentives are thus likely to be less important as motivators to encourage the alignment between the objectives of the manager and the board. Managers want to run the organisation effectively and the interests of managers and owners are naturally aligned. Managers may possess knowledge superior to that of the board but that is of little consequence in practice. It is assumed they will use this knowledge to the benefit of the corporation.

In the stewardship model, the board's role is to empower the management and to collaborate with it. The board is essentially facilitative and seeks to collaborate with the operational managers in taking actions that are in the corporation's best interests. The formative and developmental emphases of PM are important in this model. The link between performance management and remuneration arrangements typically rewards performance rather than incentivises it. The board will typically comprise experts who are able to work jointly with the management to enhance decision quality. If the corporation's managers were members of the board, it would not be at odds with the underpinning principles of this arrangement.

The stakeholder model

This model comes into play when a range of players have an interest or stake in the organisation and these different interests need to be recognised in the constitution of the board. The stakeholder 'representatives' may be elected or nominated by the existing board. The board has a role in balancing stakeholder needs and making appropriate policies and strategic decisions. Under the stakeholder model, the relationship with the manager can be either of the principal-agent kind or of the stewardship kind. It would be contingent on the way the manager was viewed, the alignment of the managers and the board, and the concern about any asymmetries in the knowledge of the managers and that of the board.

Historically, school governing has been based on the stakeholder model. That model can be justified but is under threat from those who advocate a model more aligned with stewardship. Having a wide range of stakeholders on the governing body complicates governing practice. The flexibilities accorded to governing body constitution in recent legislation have resulted in a move away from the stakeholder model.

For example, the principal-agent model is very closely related to the role of the more formally structured MATs that have been set up as part of the move towards academies, particularly in secondary schools; professionally-orientated boards reflect a stewardship model.

As a result of shifts in responsibilities in the system and differing expectations of governance, interviewees in the education sector painted a picture of many 'out of depth' governors. They suggested that there may well be an exacerbation of poor practice, and if not poor, very variable. Thus there are tensions inherent in the system about the role of the governors, as well as tensions concerning the way in which governing bodies might use performance information. In particular, interviewees drew out issues in the application of performance management that focused around confidentiality, effective structure and skills based training. Ongoing

debates about paid governors are symptomatic of the pressures on governing, and consequent shifts in governance structure are underway. In practice, there are no 'pure types' of governing bodies that align completely with the ideal models presented above.

However, the models help clarify the consequences of different governance structures for approaches to training and development. Views about these matters are further explored in a later chapter.

Summary

Preliminary findings from the interviews and the synthesis of evidence from the literature and elsewhere confirm the lack of, and need for, systematic guidance and support around the effective management of headteachers' performance. Debates around PM in the private, public and third sectors converge around the importance of high-quality performance information tethered to clear and coherent priorities that take into consideration the particular characteristics presented by diverse organisational contexts. In education, as in the public and third sectors, one of the crucial determinants of interpretations of performance has to do with the role of the governing body as a non-executive board.

Structural reform in the English state system contributes to the complexities of developing comprehensive solutions. The wide range of contingent conditions means that the quality and integrity of the process and of the relationships of those involved, especially between the chair and the headteacher, matter greatly.

The synthesis of evidence from the literature and interviews confirms the difficulties of integrating effective processes in an ongoing way into systems of organisational and individual management. The synthesis points to the strategic, tactical and political difficulties of developing a particular framework or even a limited set of frameworks that could apply universally across all schools in England.

Interviews in particular highlight how headteacher performance management in schools is challenged by the:

- growing responsibilities of governing bodies and their status as non-executive boards
- increasing diversity of structures of governance (e.g., multi-academy trusts)
- scarcity of resources for and guidance around developing innovative solutions.

Interviewees noted specific difficulties that governors encountered. They viewed governors as having in general a lack of guidance on setting objectives and the links to pay, but perhaps not being motivated or even encouraged to take up training opportunities. An important question that arises from this is, 'How should these aspects be communicated to governors, and by whom?' Some respondents identified the use of data as an issue; not only how do governors use performance data – which now comes from a variety of sources such as the DfE, Fischer Family Trust, Ofsted (e.g. RAISEonline, Data dashboards) - to identify the core issues around leadership, but whether they are able to look more widely at data about the culture of the organisation, as is done, for example, in healthcare leadership management.

Some respondents, mainly in the public or charity sector, reported that PRP was not viewed as a useful way of incentivising people in the public sector. They also identified a tension between talent management, and developmental opportunities for the head, and the organisation, with the judging of competence. Respondents identified a difficulty with carrying out these two functions within one review. Holding CEOs/headteachers to account was identified as important and a role for governors, but that for many boards this becomes difficult when governors do not realise problems with the capability of the headteacher. Many of the public sector interviewees also suggested there is an overarching issue about whether this is indeed a useful way to address capability if you want to do positive, forward thinking performance management well, e.g. talent management.

Interviewees suggested that more personalisation is needed and relationships are crucial, and no one size fits all. Governing bodies are now really at the sharp end of leadership and management practices in a school. The spotlight is currently on governors, with HMCI (Ofsted, 2013b) and the Academies Commission (2013) having recently challenged them to 'up their game'. Interviewees noted the necessity of boosting the confidence of lay people in professional spheres.

Valuable resources exist to help schools meet this challenge. However, governors need support to find and make use of these resources, as well as identifying those most relevant for their particular settings.

In the next chapter, we describe some of the important aspects of headteacher performance management that have emerged from our analysis of the research data derived from the case studies and the questionnaire surveys of both chairs of governing bodies and headteachers.

Chapter 3: Important aspects of headteacher performance management

In this chapter, we describe some of the important aspects of well thought-out headteacher performance management (HTPM) that have emerged from our analysis of the data from 20 case studies and two surveys; one of chairs of governing bodies (GBs) and the other of headteachers (HTs). As detailed in Appendix A, our sample of case studies was intentionally skewed towards schools that were identified as exhibiting good or exemplary procedures of headteacher performance management. We also identified several schools with governing bodies that had struggled to develop robust approaches to performance management in response to confronting a variety of challenges.

Our findings from the cross-case analysis of schools and analysis of survey results are grouped under the four headings adapted from OECD's 'Conceptual framework for school leadership appraisal' (OECD, 2013), which are:

A. Governance environment (the general context for performance management in the school)

B. Procedures (key aspects of the way headteacher performance management takes place)

C. Use of outcomes (how the outcomes of the appraisal aspects of the process are used)

D. Capacity for effective performance management (what are the implications for example, as regards commitment to the process, expertise, and training).

We end with an overarching discussion of performance management in relation to underperformance. Each sub-section concludes with a summary of key messages, which we suggest governing bodies and headteachers should take into account in the performance management process. Then, in chapter 4, these key ideas and challenges are further elaborated and we suggest areas for future consideration.

A. Governance environment

There are many factors that impinge on a school's governance environment, including factors such as the level of autonomous control of the governing body or a vigilant inspection regime. A prescriptive or overly restrictive governance environment would challenge a school's ability to define its own process and objectives. On the other hand, new freedoms permit greater autonomy but with

additional responsibilities on governors to scrutinise and explicitly justify their processes and aims. We found many instances in which governing bodies had responded to the changing environment by acknowledging that "the ante has been raised", as one governor noted, willingly embracing additional responsibilities in an effort to support their headteachers and strengthen their schools. Appendix C provides a list of basic descriptive details of all case study schools, including type, phase, region, most recent Ofsted inspection grade and percentage of children entitled to free school meals. Case studies and vignettes accompany this report in a separate annexe.

Challenges and change in the external environment were often the reason why schools or groups of schools had tightened up their approaches to headteacher performance management. For example, the outcome of a recent Ofsted inspection graded case study school S3 as 'requires improvement', which interviewees noted: 'shocked the governors out of their sense of complacency'. The headteacher of school S3 had been in post for only one year and the school was working hard to move forward. Headteacher performance management was an integral part of the school development process, with the introduction of a rigorous 360 degree assessment procedure as an element of headteacher performance management last year and robust objectives being set. The chair felt that they had to introduce a rigorous process to challenge not just the headteacher, but also to help the headteacher jolt the senior team back to the reality of the situation. The governors are using headteacher performance management as part of the overall plan to improve the school.

The threat of competition with other schools was widely reported as a concern, particularly but not exclusively for secondary schools. Competition had focused the governing body's oversight of the headteacher and/or motivated the headteacher to work with the governors in holding her/him to account for the leadership necessary to deliver promised change.

Case study S10, a secondary voluntary-aided school in a disadvantaged inner city setting, was experiencing rapidly declining rolls due to competition from several academy converters and newly-constructed academies close by. [3] An experienced headteacher had been recently appointed, a new chair had been elected replacing a very long-standing chair, and a newly-arrived, young, dynamic parish priest had joined the governing body. As part of the changes, which included re-structuring the governing body, robust and well-structured headteacher performance management processes have been implemented.

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[3] Case Study S10: Performance management and the reorganisation of the governing body

Changes in the status of a school were also having an impact. Becoming an academy for example means a whole new level of responsibilities for governors, with the local authority playing a much smaller role, if any. A governor at S11 made clear: 'The ante has been raised since we became directors of an academy.'

Many governing bodies were experiencing a very challenging environment and regarded headteacher performance management as part of a broader set of integrated strategies to improve organisational performance.

Key messages

Structural changes in the system of schooling in England have strengthened the need for governing bodies to put into place effective approaches to headteacher performance management for external accountability and to use headteacher performance management as an important tool in improving internal accountability within schools. At the same time, these changes in the system of schooling have added to stress and uncertainty, contributing to the burden of oversight for both governors and headteachers.

B. Procedures

1. The appraisal cycle as an aspect of headteacher performance management

A clearly defined cycle for the formal appraisal process provides the foundation for effective performance management in the schools that we visited.[4] The process at case study school P6, a primary school, was typical of many.

- It was initiated early in the autumn term with the annual external adviser (EA) visit. (In some schools, the process was started in the summer term).

- In advance of the external advisor visit, the headteacher prepared a self-assessment and evidence which would be forwarded to the external advisor and the governor panel.

- There was then a series of meetings: between the external advisor and headteacher; the external advisor and panel; and between the external advisor, headteacher and the panel; culminating with the headteacher and the panel.

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[4] See Vignette B: Best practice in applying a standard process for headteacher performance management

- The outcomes of the meetings were then written up by the external advisor and sent to the panel for finalising.

- Performance related pay was considered by a separate pay committee.

In other schools, pay was considered either by the panel or a pay committee which may contain panel members, as we discuss in a section on PRP below.

In case study school P6 there was no formal review meeting during the year, but much ongoing monitoring through committees and one-to-one contact. Ongoing monitoring is also discussed in a separate section below.

At case study schools At17 and S14, where the formal cycle culminated in December, the governing body was considering whether to begin working on the objectives earlier in the school year. This extra time or earlier start date was considered essential to ensure that the process and procedures were completed smoothly.

The cycle of performance appraisal in case study school S5 was elaborate and detailed.

The initial meeting, in September, starts with a results review and topics are then circulated and agreed. An agenda is set. The governors then work out the stakeholders they want to speak to. The sample includes: a random sample of parents (interviewed over the phone) and pupils (selected by the learning co-ordinator). The headteacher does not know who they are. The questions cover:

- core purpose of school

- biggest impact the headteacher has had

- to what extent does the head inspire trust.

The questions are informed by the national standards for headteachers.

The availability of the governors is given to the headteacher's personal assistant who sets up the interviews, which run over a period of three or four weeks. Each of the six governors comes back with the key issues that have come up. They do not use government guidance but do use statistics including data from RAISEonline and the Fisher Family Trust.

Feedback from data is remarkably consistent. Mixing hard data with soft data ensures culture and climate are part of the consideration.

The data are then collated to draw out the key issues. Occasionally, interview data highlight specific items that governors were not aware of. A surprising number of items come from pupils. Two or three governors then come together as a panel without the external advisor to decide on key issues. The panel then meets with the external advisor who acts as a 'critical friend' and guides them through the process.

The panel and external advisor then hold a three-hour meeting with the headteacher. The head goes through previous objectives and presents evidence on the extent to which they have been met. The panel provides the head with feedback on their latest data collection and analysis, and they then discuss:

- School achievement

- School values

- Achievement agenda

- Curriculum reform

- Stakeholder engagement

The head and panel look at the current state of the school in each of these areas and discuss where it needs to be in a year's time. Key performance indicators objectives are then set. (Case summary, S5[1])

This is an approach taken by one school and is somewhat unusual only in the initial processes to engage a variety of stakeholders in assessing performance. However, it is not unusual or atypical of the schools we visited in the systematic way it approached headteacher performance management overall, as we see in the following section.

2. The importance of a systematic and rigorous process

All of the schools we visited took the governing body's management of the headteacher seriously and carried out the headteacher performance management process rigorously. Performance management was important both to the headteachers and the governors we spoke to. They clearly considered it to be an important part of their governing work. In only one instance did the headteacher's views on the process diverge substantially from those of the governing body, with the latter judging the appraisal process robust and the headteacher viewing it merely as a political necessity. Such consistency in perspectives is not surprising given that case study settings volunteered to participate in the study and many were selected specifically as exemplars of effective headteacher performance management approaches across a wide variety of background characteristics (eg phase, location, pupils, and Ofsted grade).

Results from our national surveys of chairs of governors and headteachers differed markedly from the consistency of response from our case study participants. This may be because the sample of headteachers is a small one, and an opportunity sample. The surveys revealed much greater overall disparity between governors and headteachers in responding to questions about overall effectiveness of headteacher performance management in their school, with governors much more likely to judge the process as highly effective than were headteachers. Figure 3.1 shows that one third of chair respondents but only about one sixth of headteachers judged headteacher performance management in their schools to be highly effective.
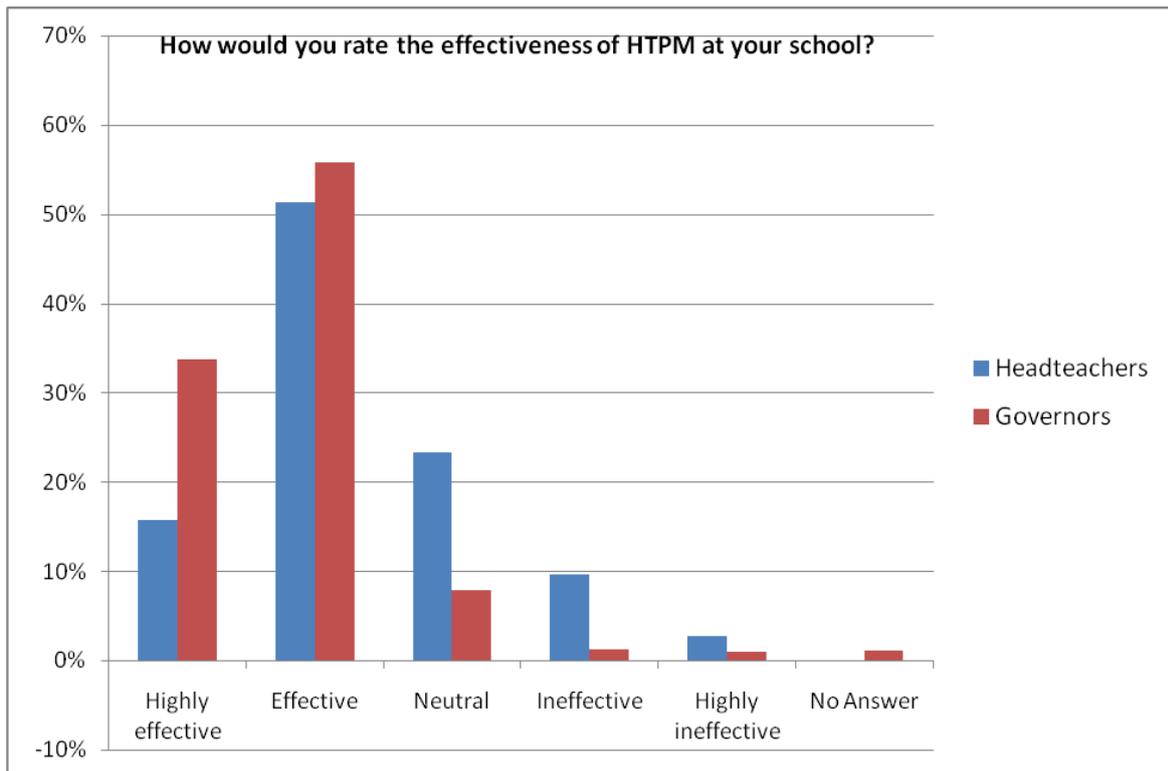
Figure 3.1: Governors' (n=1069) and headteachers' (n=147) views on effectiveness of headteacher performance management

Many more headteachers (13%) than governors (2%) considered that headteacher performance management in their schools was ineffective or highly ineffective (Figure 3.1).

There was some difference between secondary and primary schools, with more instances of secondary headteachers considering headteacher performance management ineffective (Figure 3.2) but governors at secondary schools were more positive than their primary counterparts (Figure 3.3).
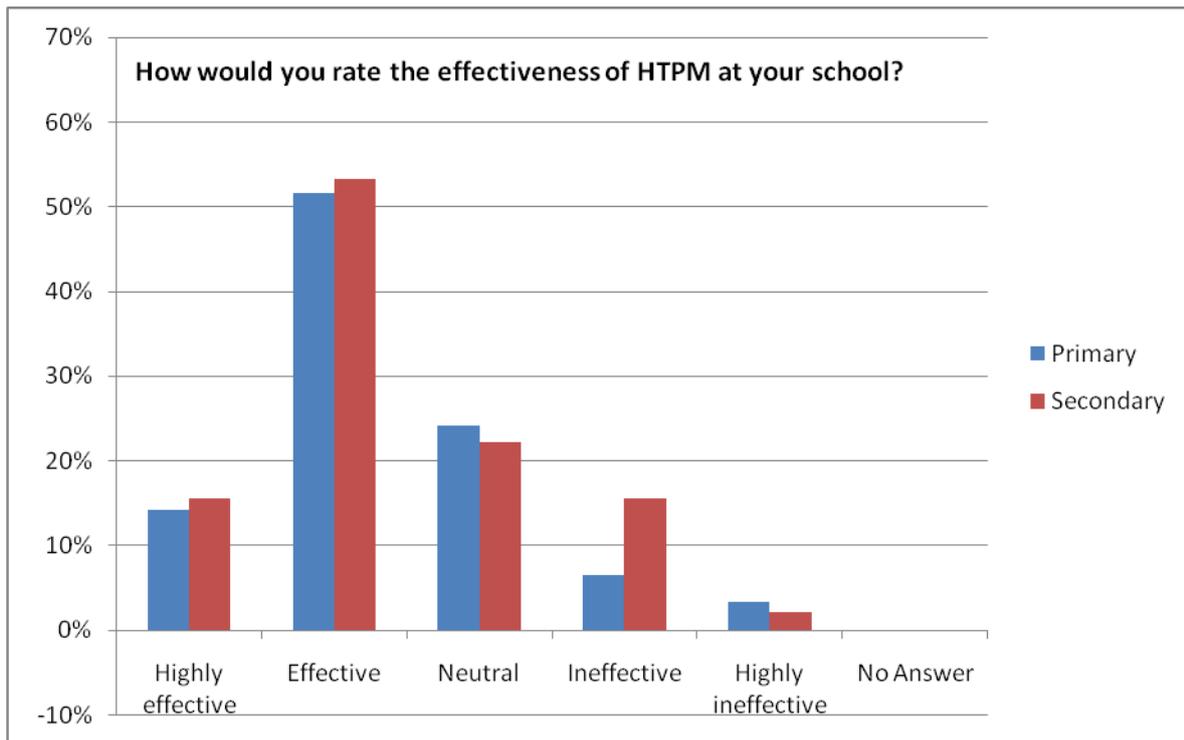
Figure 3.2: headteachers' views on effectiveness of headteacher performance management, showing the difference between those in primary (n=80) and secondary (n=43) schools
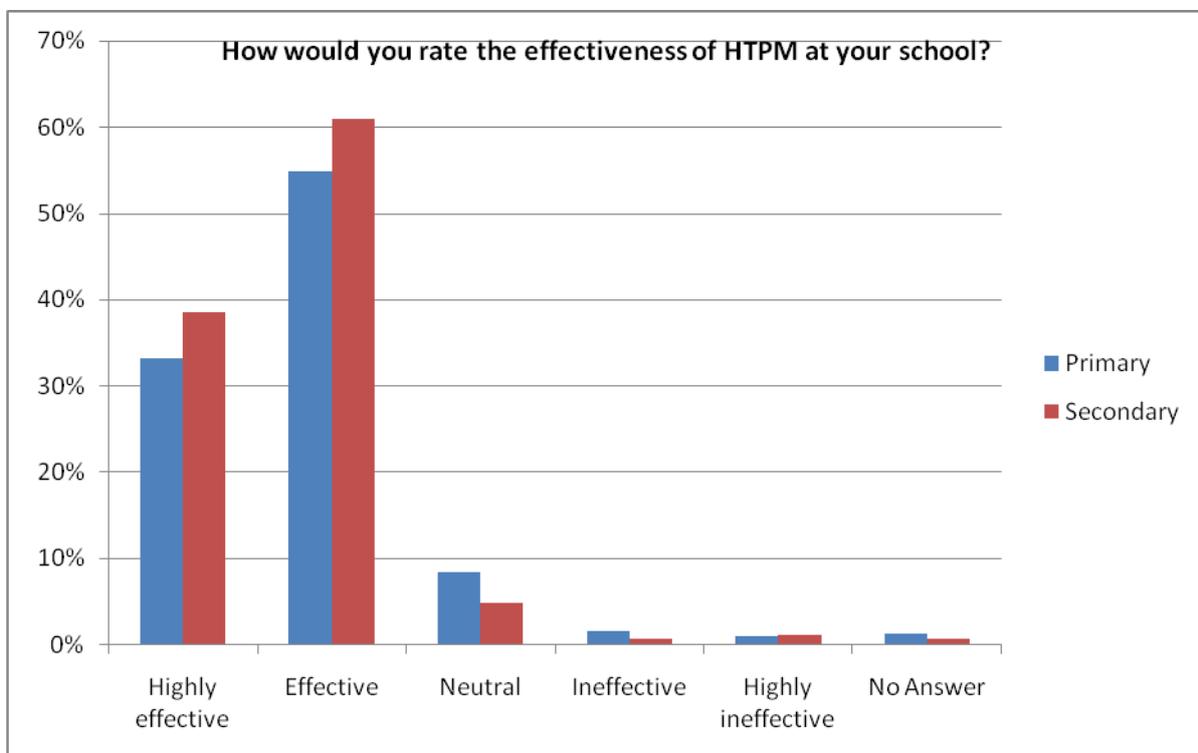
Figure 3.3: Governors' views on effectiveness of headteacher performance management, showing the difference between primary (n=864) and secondary (n=166) schools

Another headteacher (P9) commented that the headteacher performance management process kept them 'on track' and supported their own and the school's development. One secondary headteacher (S5) who had been appointed internally requested an overhaul of procedures and documentation when he first took up the post. The headteacher was used to getting honest feedback from the preceding headteacher and, as being new in the role, was unsure about how others' viewed his performance. One of the governors felt that: 'The head prepares harder than for an Ofsted inspection'. The headteacher regarded it as 'the highlight of the year'. The headteacher viewed the process as a means of articulating his longer-term strategic direction and engaging the governing body around a probing discussion of current progress against future goals in specific relation to the work he was doing. For their part, governors wanted to ensure that the headteacher took time to think about his own needs and development in relation to the needs of the school. The chair of governors and the headteacher had a regular pattern of communication about his progress, and the headteacher also met with members of his appraisal panel for an interim meeting in March/April. However, the annual event still served as the pivotal moment when clear connections were drawn between the headteacher's perceived needs and aspirations and the needs of the school.

Sharpening documentation and procedures not only helped shape the process to the headteacher's responsibilities as leader of the school but also facilitated close and continuous working between the headteacher and the governing body. Procedures and the documentation involved were vital components of their work together, especially in relation to the appraisal cycle. Most notably, the work of governing bodies towards productive and effective approaches to headteacher performance management was closely linked with the governing body's ability to understand clearly the situation confronting the school and the specific ways that the school as a whole and the headteacher and the governing body needed to work together to progress (Sp16, S10, P18). This linkage was especially the case for experienced headteachers who had taken over a school in difficulty. Both national multi-academy trusts (MATs) we visited had made headteacher performance management a keystone of the work of the trusts' directors of education with schools and local governing bodies newly affiliated with the trusts. One national MAT had made clarifying and consolidating the process the fulcrum of broader management changes not only within affiliated schools but across the entire organisation (MAT-B).[5]

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[5] See Case Study MAT-B: Orchestrating a Developmental Approach to headteacher performance management

The survey asked both headteachers and chairs whether they thought their headteacher performance management process was 'fit for purpose', and as can be seen in Figure 3.4, there were considerable differences between the two sets of responses with headteachers far more likely to disagree that this was the case. There were, however, no real differences in response between primary or secondary schools.
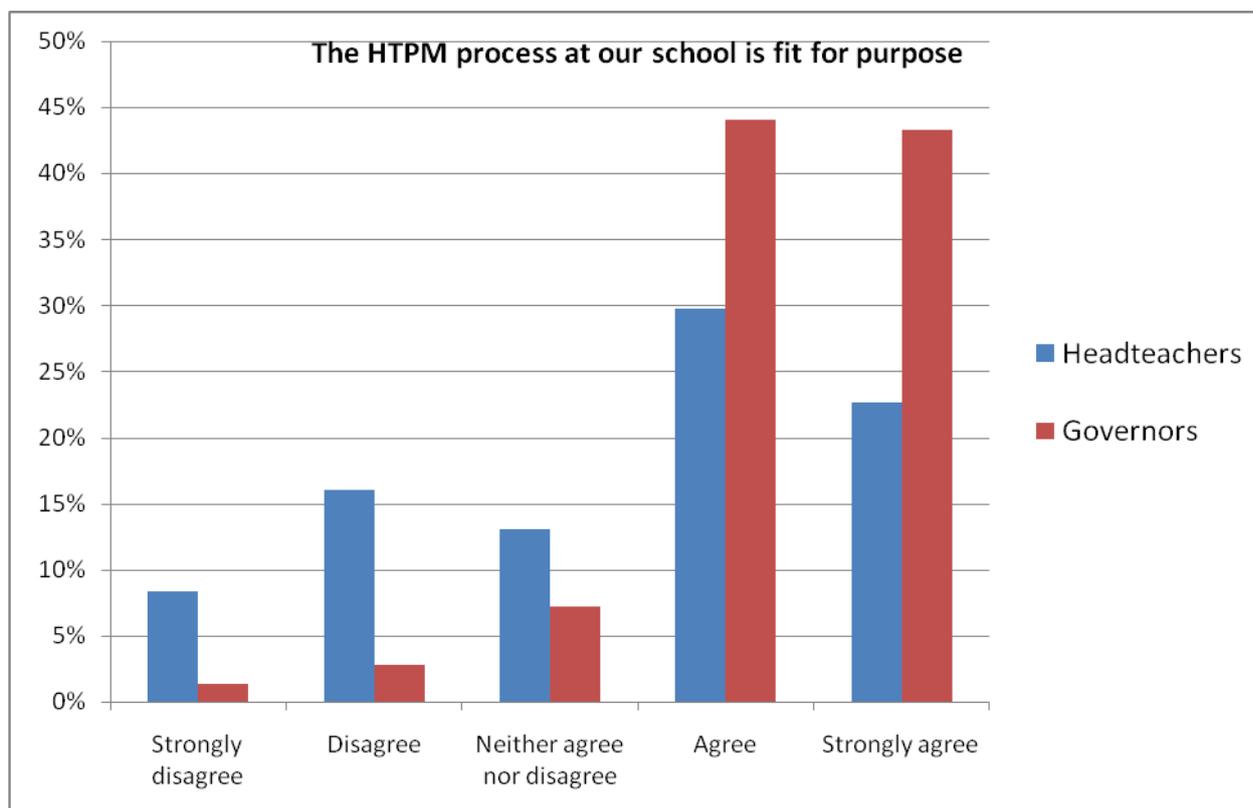
Figure 3.4: Governors' (n=1069) and headteachers' (n=147) views on whether the headteacher performance management process at their school is fit for purpose

Key messages

The clarity of procedures and importance of coherent documentation were essential components of the overall process (eg S10, S11, S13, S15, 17). The link with school development objectives was also important. The significance of developing documentation and procedures that facilitate the ongoing monitoring of the achievement of school and headteacher performance objectives was a substantive theme in the data. Many of those we spoke to were developing and adapting documentation for strengthening headteacher performance management procedures. Both recently appointed and long-serving headteachers mentioned extensive work with their governing bodies to clarify procedures, hone priorities and make documentation more straightforward.

The importance placed on headteacher performance management as a vital component of governing body activity suggests that a thoughtful, well-run process is highly valued across a wide spectrum of schools and school groups. There are differences of views regarding the effectiveness of the process, with governors consistently being more positive than headteachers.

3. Roles and relationships

Productive relationships are crucial for effective performance management. Below we examine several crucial roles in the headteacher performance management process: the headteacher, the governing body and the external advisor. We also report on ways roles and relationships are handled in schools that are part of a larger group, either a chain of academies or a federation.

Headteacher role

A crucial initial component is the headteacher's commitment to the process. If the headteacher does not view the process as something useful the governing body is not likely to either and the headteacher performance management processes will be undermined. The inverse is also true and indeed we saw several cases in which experienced headteachers had used their performance management as a means of tightening up the functioning of the governing body as a whole.[6] It had been useful in communicating important priorities and helping the governing body to focus on what was needed to move the school forward.

The role of the governing body

An unsurprising and very strong message from the data was that effective headteacher performance management depends on mutual respect and trust in the relationship between the governing body and the headteacher. Trust and respect enabled governing bodies and headteachers to move beyond a sole focus on appraisal to more extensive and intensive uses of performance management as a coherent management tool for internal accountability. For example, at case study school P4, very good relationships were repeatedly emphasised by those interviewed. The elements of mutual respect most frequently mentioned were openness, honesty, ability to be frank and to challenge and to accept challenge, with neither governors nor headteachers 'afraid to say what they think' (P6).

In Sp16, relationships between the newly appointed headteacher and the governors were said to be excellent. The governors had realised that relationships with the last

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[6] See Vignette J: Developing governing body capacity, and case study S10.

headteacher, which for them were characterised by 'manipulation and wool pulling' were unacceptable. Both the headteacher and the governing body implemented new headteacher performance management processes to open up a frank dialogue about the school and where it was heading.

A high quality relationship between the chair and the headteacher was a crucial relationship for effective headteacher performance management. The headteacher at case study school S11, where headteacher performance management was highly valued and deemed effective by all those we spoke to, felt he was 'Not guarded in what I say to my chair – we have a very open and trusting relationship'. The chair of governors of P19 reported that they frequently sat with the headteacher and discussed 'whether they were on target, and whether there is anything else the governors can do to support meeting those targets'. The chair felt that these informal discussions were 'important in establishing good performance'.

Chairs generally talked about headteachers needing someone to challenge them and felt that good leaders valued that challenge. Some reported on previously ineffective approaches to headteacher performance management that had been characterised by a too-cosy relationship between the chair and headteacher (S10) or a chair unwilling to confront the headteacher (Sp16). One interviewee recalled that in his first term as governor, he realised how rarely the headteacher was questioned. He remarked: 'Nobody would act as a critical friend and question the head.' The first time the chair raised a question, he 'was rounded on by other governors and told not to ask those questions'. (P19)

Because trust and mutual respect are so important in effective headteacher performance management, governing bodies need to consider how to develop this explicitly. Several respondents wondered about the sustainability of the process over time. Succession was a consideration for them.

It was particularly the case at school P20, where respondents felt that a very well-established and long-standing headteacher performance management panel membership may create succession difficulties. The importance of the underpinning relationships may create problems in transferring lessons learned about effective headteacher performance management to other schools, unless the building of relationships is taken into account from the start. It may be that effective headteacher performance management can cultivate a sense of trust, but headteacher performance management also requires trust as a precondition in order to be effective.

The role of the external adviser

Data from the surveys and the case study interviews highlight the very important role played by the external advisor.[7] Nearly three-quarters of governor respondents 'strongly agree' with the statement that 'the external advisor provides valuable input into the appraisal process' with a further 19% 'agreeing'. This compared with figures of 58% and 27% respectively for headteacher survey respondents. (Just fewer than one-in-ten headteachers disagreed with the statement.) Notably, where we heard examples of the previous failure of headteacher performance management, failures or inadequacies of the external advisor were prominent, alongside those of the chair, which highlights the importance of the external advisor role.

Our case studies make clear many important facets of the role. They are, summarised neatly in this account of a discussion with the headteacher of P4:[8]

> The headteacher was keen to employ the services of someone who had a strong understanding of primary schools i.e. curriculum, attainment data, could relate to an astute governing body and had Ofsted experience. Moreover, as a highly experienced and successful headteacher himself, he was anxious to work alongside a professional colleague who could support, question and challenge.

External advisors deemed effective in helping governors with headteacher performance management:

- produced a data-digest for the headteacher performance management panel and the governors so they had a clear understanding of how the school was performing (P9)
- supported the governing body in interpreting information and pupil performance data (S8)
- had broad experience working with a number of governing bodies
- supported, questioned and challenged the headteacher (P4, S5 and Sp06)
- were knowledgeable about the headteacher appraisal process and performance management generally – external advisors at P9 and Sp16 were good examples
- had specific knowledge of the school, its history and its context.

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[7] Also see Case MAT-B: Aiming towards performance governance, and Vignette D: The role of the external adviser.

[8] Case Study P4: The impact of a mature headteacher performance management process.

External advisors who played an effective role in headteacher performance management had respectful and trusting relationships with both the headteacher and the governing body. In one instance (P9), an experienced external advisor appeared to take the lead in managing the process and to very good effect.

One of the MATs we visited, MAT-B, clearly delineated the accountability functions of the external advisor in supporting the governing body to interpret evidence and to challenge the headteacher; from a developmental focus, in which the external advisor may act as mentor to the headteacher, discerning appropriate learning objectives and goals for personal and professional development. The director of education of MAT-B served the former role, line managing the headteacher and working with local governors around understanding school data and delineating areas that demanded attention or raised questions. However, the trust also engaged experienced headteachers - principally national leaders of education (NLEs) - in the role of external advisor to facilitate headteacher development, following a model of mentoring initially established in the London Challenge (Earley and Weindling, 2006). The external advisors were challenge partners, who served not as evaluators of performance but as a coach/mentor in discerning appropriate challenge and the kinds of support that would enable the headteacher to develop effectively. Both the external advisor and the trust's director of education were involved in the headteacher's performance appraisal, along with a representative of the local governing body of the school. Both the director of education and the NLE worked with the headteacher and the local governing body on headteacher performance management.[9]

The clear delineation of roles - between an adviser to the governing body and a mentor to the headteacher - highlights a point we heard occasionally but forcefully in survey comments. This had to do with the potential lack of clarity about the role of the external advisor and divided allegiances. The external advisor is an agent of the governing body; however, a number of governing body respondents to our survey noted that the external advisor, often identified by the headteacher, had a closer allegiance to the headteacher than the governing body. For example, one respondent commented via email:

> [For establishing objectives], basically we just follow what the advisor says ... This is the most difficult aspect. I recognise they should relate to (say) the school development plan or children's performance, but it is hard to assess what is right and appropriate. I sometimes feel this [approving objectives] is just a 'fix' as [the adviser] has already discussed them with the headteacher

[9] See Case Study MAT-B: Aiming towards performance governance

before she even sees us (i.e. the designated Governors) and therefore doesn't even take into account our views or thoughts on this matter until she has sort of agreed a set with the headteacher and it is then difficult for us to object or disagree.[10]

This respondent was clearly aware that neither the governing body nor the school was well served by the arrangement. Several of our case study schools that were emerging from difficulties offered illustrations of how crucial it was for the governing body to redress the imbalance of power. In both Sp16 and S10, the imposition of new advisers by local authorities enabled the governing bodies to understand for the first time how disadvantaged and ill-served they had been by the previous arrangements, which favoured poorly performing headteachers.

A counter-example is that of a converter academy (S11) that had decided to dispense with an external advisor, the services of which are not mandated for academies. In the past, the school used an external advisor/school improvement partner who knew the school and its context. However, more recently they found that the external advisors they had employed had added little. Since becoming a converter academy in 2011, they have decided not to use an external advisor. This was an experienced and confident governing body deciding that it could not warrant the expense of employing an external advisor for so little 'additionality'. The depth of experience and expertise of school governors played a large part in this decision. However, the governing body is now reviewing this policy as they feel the need to provide their headteacher, who they consider to be outstanding, with critical challenge and professional peer review.

Where to locate external advisors who can demonstrate these qualities was an issue for some schools. The survey of governors found that 13% agreed that 'it was a challenge to identify an appropriate external advisor' and when deployed the vast majority came from the local authority and/or were school improvement partners. Just under one-third made use of 'independent consultants'.

The survey found that fewer than one in 50 (1.7%) chairs reported not making use of the services of an external advisor. However, the extent and depth of the external advisor's knowledge of the school was an important theme in the data. Some schools, especially those undergoing rapid development and change following an unsatisfactory Ofsted report, such as S10 and S13, noted how important it was for the external advisor to have deep knowledge of the history of the school, its pupils and the community the school served. At S10, respondents considered that external

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[10] AM email to HTPM@ioe.ac.uk, 16 July 2013.

advisor support was invaluable but that it depended on the particular external advisor knowing the school well and being able, in the view of the headteacher, to ask probing questions based on analysis of the full range of information provided.

Although external advisor continuity was deemed important, some governing bodies deliberately replaced the external advisor every two years. At P18, a primary academy, which was graded outstanding by Ofsted, the external advisor is changed regularly to bring independence to the process.[11] In one instance (S15), the external advisor was drawn from another sector, the NHS.[12] Using an external advisor with that background was justified on the basis that the governing body appraised the performance of the whole leadership team and this particular external advisor had 'team appraisal' experience.

Key messages

The three crucial relationships in effective headteacher performance management are those of the headteacher, the external advisor and the governing body, particularly the chair. Effective headteacher performance management hinges on mutual respect, trust, candour and a willingness to challenge and to be challenged.

External advisors are important to the process and the vast majority of schools use them but they must be seen to 'add value' to the process to warrant their cost. The desired characteristics deemed to add value (eg familiarity with school, knowledge of performance management as process, ability to serve as coach/mentor to headteacher, etc.) are highly dependent on what a particular school might need at a particular moment in time.

4. Process

The panel

In all the cases that were not national MATs, an appraisal panel appointed by the governing body annually reviewed the headteacher's performance. The typical panel included three members - the chair of the full governing body, the chair of the committee that oversees staffing and/or finance; and one other governor who has particular expertise in performance management and/or education. Data from the governors' survey shows that the vast majority (96%) appointed a panel to oversee the process and that two-thirds of the panels consisted of three governors.

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[11] See Case Study P18: Maintaining very high performance from a long-standing and effective headteacher.

[12] Case Study S15: A very large, 'outstanding', 11- 19 school in the South-East where the senior team is appraised as a whole by governors.

Exactly one-quarter reported that there were only two governors on the committee. The vast majority (92%) reported that some members of the review panel or committee had experience in appraising staff from their current or previous working lives. Most respondents to the governing body questionnaire reported a similar composition, including the presence of the chair.

However, the chair's role on the review panel was debated by some, with a few schools explicitly excluding the chair (P4) and others debating the practice (S10). The choice of the third member of the panel also varied, with some schools carefully selecting a governing body member with appropriate expertise (At17). In one larger than average primary school (P18), two governors comprise the panel and carry out headteacher performance management. One will have done it the year before and the other must be new and have done recent governor training in headteacher performance management. The pairings change every year to keep the process dynamic. Other governors have successfully completed the training and so can step into the breach if necessary. This cycle of bi-annual rotation in panel membership cultivates broader representation and the development of capacity. In one instance of a larger than average panel (S10), the review group included four members, the chair and the chairs of each of the governing body committees who oversaw the work of the head (i.e., staffing, finance, and teaching and learning).[13]

In some instances, this review is wider in scope than the headteacher alone and includes other senior staff. Our sample of cases included one instance of a co-headship (S14) reviewed together and three instances in which performance of the senior leadership team (SLT) was reviewed simultaneously by the same panel, either as a composite team with the headteacher (S15), or in processes of serial or sequential review, following directly on from the review of the headteacher (At17, S10).[14]

In the case studies, all review panels or committees, except for one school (S11) and one national multi-academy trust (MAT-A), worked closely with the external advisor or a trust appointee in a similar role. As noted earlier, the typical rhythm of interaction leading up to and beyond the formal annual review involves:

- the panel and sometimes the full governing body discussing points to raise
- a meeting between the external advisor and headteacher

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[13] See Case Study S10: A secondary school in challenging circumstances and under pressure to improve uses headteacher performance management to focus its governing body on pressing priorities.

[14] See ibid; Case Study S15: A very large, 'outstanding', 11- 19 school in the South-East where the senior team is appraised as a whole by governors.

- a meeting of the external advisor, headteacher and governor panel, followed by

- a meeting of the headteacher and governor panel

- a write up by the external advisor.

Performance management continues throughout the year with ongoing monitoring. This occurs as part of:

- regular interaction between the headteacher and chair of governors

- termly committee meetings of the governing body that have oversight of aspects of the work of the school that relates to the headteacher's objectives

- a formal mid-year review meeting of the appraisal panel and headteacher specifically focusing on checking in about progress against the headteacher's objectives.

At this mid-year review, objectives may be recalibrated or revised to take into consideration the changing needs of the school and the headteacher.

One of the most frequently mentioned challenges facing the review panel was logistical - scheduling the sequence of meetings necessary for the formal review. Many of the case study school chairs were no longer in full-time employment and could, in some instances, be more flexible, but other panel members tended to be very busy professionals. In some instances, difficulties scheduling meetings caused substantial frustration with the process (S10) or significant delays (S14). In several instances, both headteachers and governors were aware of the need to carry out interim meetings explicitly focused on headteacher performance management but had found that the logistical challenges of scheduling frequently made this impossible. Similar issues were identified in the surveys when asked about the challenges they faced.

Establishing objectives

Across the data set, the objectives established typically focussed on academic or learning standards, leading and managing, and personal and professional development. Establishing objectives - or setting targets as respondents typically referred to it - was understandably a significant moment in the headteacher performance management process.[15] Setting objectives was typically a 'group process' involving the panel of governors, the external advisor and the headteacher;

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[15] See Vignette F: Establishing objectives.

although there were exceptions, for example in national MATs, in which objectives were set by the HT's line manager, the director of education, using comparative data from schools across the trust.

Typically, respondents found setting of objectives difficult for a range of reasons: were they realistic and directly under the headteacher's control? How would the governors know that the objective had been achieved? And of course, what should they focus on? Many interviewees, such as one respondent at case study school P18 specifically referred to the SMART acronym (Specific, Measurable, Achievable, Relevant and Time-related) as being helpful. School P18 also used success criteria as did other schools.[16] It was clear that other respondents had these ideas – SMART objectives and success criteria - in mind when they were setting objectives. So, at P9 one of the respondents referred to the target set being 'clear, measurable, feasible'.

One interviewee in case study school P9 referred to the objectives set as hard (easily measurable (pupil/school) performance objectives, and soft such as creating a collegial atmosphere in the staffroom which are 'perhaps more important but more difficult to measure'.

The set of objectives varied according to the stage of development of both the school and the headteacher. At a number of schools, respondents recognised that the objectives had changed over time. For example, at P9, early in the new headteacher's time at the school, the objectives were related to the national standards for headteachers. Now the headteacher has been in post a number of years, objectives were focussed more on school development.

The number of objectives varied but was typically between three and six. In some instances, for example S10, the panel, the external advisor and the headteacher began with a long-list of possible objectives which was then slimmed down to a more suitable number. Typically the objectives would have a one-year time scale. In some instances the objectives had a longer time horizon. At P18, for example, the governors were starting to use a three-yearly cycle.[17]

As noted above, in three of the cases, the headteacher performance management process focussed on the school leadership team not just the headteacher. So, S15 had a system of leadership team performance management, which included the setting of objectives and a review process. At S11, where they have a large SLT, the governors' performance management panel sets and reviews the objectives of the

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[16] See Case Study P18: Maintaining very high performance form a long-standing and effective headteacher.

[17] ibid.

whole group. At At17, an all-through school, the principal's objectives were established first and then the objectives for the two phase headteachers were set.[18]

From the various case studies, it was clear that establishing a link with the school's performance objectives, usually part of the school development plan (SDP), was important as we discuss in section 5 below. However, in some instances the school's performance objectives (for example to improve pupil attainment) appeared to be the same as the headteacher's performance management objectives. This overlap may be out of necessity, given the state of development of the school, but the potential lack of specificity and precision in what the headteacher might undertake does draw attention to the difficulties of discerning objectives that are individualised, appropriate and measurable.

In many settings, the external advisor played a crucial role in setting objectives. At the most basic level, the external advisor introduced the use of pro-formas for documenting and clarifying objectives. Often, these were or had been developed by the local authority for use in all schools in an area (eg Sp16). But a wider external advisor \mediational role was also very important for the prioritisation and calibration of organisational goals with individual objectives. The external advisor served as a fulcrum in many instances, helping the headteacher and the governing body to find the right balance of challenge and support, precision and flexibility in setting objectives. Respondents to our survey of governing body members mentioned external advisors and the relevant committee of the governing body as having the most significant role in objective setting.

As we noted in the earlier section on the external advisor role, we also received comments about the adviser serving as a barrier to governing body involvement with objective setting. In the headteacher questionnaire survey over one-half reported that they themselves were most involved in the setting of their own objectives, and several comments attested to headteachers' frustrations with the inability of their governing bodies to understand how to establish appropriate objectives.

In two instances (S10 and At17), 'aggressive targets' were used by the headteacher and principal to serve as demonstrable evidence of external accountability - the need for swift improvements and the leaders' commitment to that task.[19] In a new all-through school, the launch of which entailed the closure of three struggling schools, the principal noted that they knew initial objectives had to be uncompromising to

[19] See Vignette F: Setting objectives.

convince parents and the local authority that the new school was a worthy replacement for the closures and the anxiety that entailed for parents.

> The local authority left me in no doubt that I had to produce results here. [My objectives are] not airy-fairy, esoteric things. They are the things that I need to do to move this organisation forward. Sort of the bread and butter stuff.

We noted many instances of the use of objectives for addressing difficult circumstances within the school due to issues such as low attainment, lagging pupil progress, unsatisfactory teaching, and the need to strengthen middle leadership. What we did not find were many carefully-crafted instances of using objectives to promote personal development or clear articulation of individualised learning aims (see Seijts and Latham, 2005). MAT-B stands out as acknowledging the distinction between accountability and development in its procedures, including objective setting, but such close attention to personal development and even individualised learning goals for professional development is atypical in our case study data. Curiously, governing body survey responses indicate a wide range of types of objectives in use. However, headteacher respondents were much more apt to note an overemphasis on 'hard' objectives that emphasised accountability for improved organisational performance.

Use of performance information within the headteacher performance management process

The use of data of a range of kinds was important in the headteacher performance management process. So for example, headteacher performance management at case study school At17 made extensive use of data and at P20 a wide range of information was used, including feedback from a 'monitoring day' when several governors visit the school to build a snapshot view of how the school is doing.

Case study school S5, mentioned in section B.1 above, is typical in its use of a wide range of information, including:

- statistical data from RAISEonline and the Fisher Family Trust
- hard data from the school development plan
- progress of students
- KS2 outcomes raw scores, 8 best scores for 16 +
- A-level data, including leavers destinations

However, the use of clear data syntheses nationally is patchy. The chair of governor's survey found only 56% of respondents stating that the governing body regularly uses a means of putting together high-level school performance information at a glance, such as data dashboards.

Data were also used as part of the ongoing monitoring of performance (see below), for example at P4 and at S5 where data was used to establish progress against objectives.[20] In some instances, the governors had to change their approach to become more data aware and to make more use of data in their headteacher performance management. Typically the EA had an important role in ensuring that the headteacher performance management process was underpinned by sound data and appropriate data use.

Engaging stakeholders

A number of schools, for example P20 mentioned above, as well as S8, S13, and S15, sought out feedback about the headteacher's performance from a variety of stakeholders. This was commonly referred to as '360 degree feedback'. To varying degrees many schools collected feedback from parents, pupils and staff; however only rarely (eg S3) was this conducted with the level of rigour implied by the term '360 degree'.[21]

At S3, evidence was collected relatively informally through conversations with the SLT, key governors and staff and students. It was part of a larger development plan to move the school forward. The governing body of S5 explicitly sought to engage a wide range of stakeholders in the headteacher performance management process. The headteacher wanted that approach. She was appointed internally and was used to getting honest feedback from the previous headteacher, which she valued. She viewed the process as an opportunity to get a view from all stakeholders of her performance.

Ongoing monitoring

Data from the governors' survey showed that monitoring of progress towards meeting objectives was considered as part of the wider processes of overseeing the performance of the organisation as a whole. Many schools had systems of monitoring and review in place. The survey of governors found over 80% of chairs reporting discussions about their headteacher's objectives taking place outside of the formal process with 30% of these stating this occurred 'at least once a month'.

Only rarely was a formal mid-year review convened to focus specifically on the headteacher with panel members. Headteacher performance management at case

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[20] See Case Studies P4: An 'outstanding' primary school in the North West of England illustrates the impact of a mature, efficiently organised and effectively managed headteacher performance management process and S5: Developing 360 degree headteacher performance management in a north-eastern comprehensive school.

[21] See Vignette A: Stakeholder engagement and headteacher performance management.

study school S20 involved a formal mid-year review and other monitoring, including a formal 'monitoring day' which entailed visits to the school by the headteacher performance management panel. The literature and expert interviews made clear that this was an important feature of effective performance management.

In all case studies, both headteachers and chairs reported ongoing, informal discussions on matters about objectives related to pupil attainment and progress, as well as learning and teaching objectives as these were tied to the school development plan. In most cases, as noted above, external advisors also performed a school improvement partner-like function, and their visits provided additional opportunities for informal discussions about progress against objectives.

At S10, the chair had restructured the governing body so that specific committees would 'own' particular goals identified in the school development plan.[22] The explicit links may not have been as close in other schools, but in most cases the headteacher reported termly to the full governing body or specific committees in ways that allowed both the headteacher and governing body to assess progress against objectives.

At P6 and P8 there was extensive monitoring, which was undertaken as part of the whole school monitoring. Headteacher performance management at P12 involved a series of milestone meetings, which reviewed progress according to various points in the year that had been previously set. In S15 the headteacher and governors emphasised strongly that the formal appraisal process took place against a background of ongoing monitoring of the school's work, particularly through frequent informal discussion, the well-planned work of its committees, and visits to departments, with a member of the SLT. There was no explicit ongoing monitoring at P9, 17 or S13.

Individual developmental objectives, professional as well as personal, were less frequently mentioned as a focus of ongoing monitoring but the well-being of heads and the ensuring of an appropriate work-life balance were frequently on the agenda if not formally monitored. The survey of headteachers, for example, found about one-quarter disagreeing with the statement that 'the results from my appraisal are used to further my professional development'. However, just over one-half of headteacher respondents noted that their 'professional development and growth' were important objectives for their most recent appraisal.

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[22] See Case Study S10 A secondary school in challenging circumstances and under pressure to improve uses headteacher performance management to focus its governing body on pressing priorities.

Development of headteacher performance management procedures

As we reported earlier, there was ample evidence that schools were sharpening and focusing documentation and procedures. But relatively few schools had radically altered the headteacher performance management process over time. For example, at S5, S5, P9 and S11 the process had been 'streamlined' which typically meant having better and less paperwork. Schools had changed the headteacher performance management process in other ways to enhance its effectiveness and to ensure it was fit for purpose and met the requirements. There was also evidence, from the S11 case, where the school had sharpened the headteacher performance management process following conversion to academy status. In some instances, changes to the process were related to structural changes (S10, S03), and to enable the process to work better, as at S5 and P9.

Key messages

Managing the progress of the school as an organisation and managing the headteacher are ongoing and intertwined processes for intelligent internal accountability. The breadth and precision of the headteacher's objectives, the quality of performance information and productive engagement of stakeholders reflected the experience, maturity and quality of overall management processes within the school. For all schools, external accountability and visibly demonstrating progress against objectives served as the overarching motivation for setting ambitious and 'aggressive' targets and the uses of performance information. The MATs along with a small number of schools, typically those confident of their external standing, elaborated precise and individualised objectives that recognised a need for 'reciprocal accountability', challenge accompanied with appropriate support. Setting milestones for review of the objectives is also important.

Most schools in our study did not have an established schedule of mid-year review, explicitly focused on headteacher performance management. However, all schools noted some form of ongoing monitoring around objectives for school development that happened throughout the year. In contrast, most schools did not make robust use of objectives for *personal* development in connection with professional and organisational development. The surveys revealed a disparity between headteachers and governing body members around the use of objectives for personal development in connection with professional and organisational development. The schools or groups of schools with the most developed forms of performance management, such as MAT-B, S11 and S03, were far more apt to pay close attention to the headteachers' personal objectives. The lack of focus on personal development in relation to organisational development is a major reason why the literature advocates for setting aside time for interim review. This area is important for governing bodies to develop in order to reinforce trust and good relationships.

5. Organisational connections

Integration with school development plan

Integration of headteacher performance management across the organisation is important. The integration of the headteacher performance management process with the school development plan (SDP) was evident in many of the cases, for example at S3, S5 and S12. Over 80% of heads in the survey noted that priorities in the SDP were important in the setting of their objectives. At school At17, the integration of all planning objectives was very apparent. There were coherent connections across whole school objectives, into the principal's objectives, which were parsed into the objectives of each of the two phase headteachers, primary and secondary, and from there into the objectives of subject and year leaders and the teachers and teaching assistants on their team. All performance objectives were meant to relate 'up and down and down and up', in the words of one respondent, with clearly inter-related documentation. Such a 'cascade process' was evident at other schools, although not as explicitly articulated as in At17 and P20.[23]

At a special, all-through school (Sp16) the chair and headteacher were working towards establishing and integrating objectives for all staff, including those taking care of the estate and food services staff, because of their importance in working with pupils at this school.[24]

Involvement of external advisor

The external advisor can play an important mediational role in ensuring the coherence not only of objectives but also of the wider organisational processes that connect objective setting with the SDP, and help the governing body understand what information to pay most attention to in its monitoring efforts. In schools or school groups that emphasised personal development, the external advisor also played a crucial role in calibrating the headteacher's personal and professional objectives to the particular needs of the school.

Key messages

The link between performance review/appraisal and holistic approaches to performance management throughout the organisation become clear when examining the organisational connections between appraisal and other management

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[23] See Vignette H: Cascade process; and Vignette L: Using performance management for whole school development.

[24] See Vignette J: Developing governing body capacity.

processes in the school. The importance of these connections highlights, once again, the crucial mediating and supporting role of the external advisor.

C. Use of outcomes

Performance-related pay

The link between the outcomes of performance review and headteacher pay increments could be reduced to a simple formula, as expressed by those in school P9: 'If objectives have been met, one increment. If performance has been exceptional two increments'. However, arriving at a recommendation around pay was not straightforward, and in all of our cases, the process involved substantial discernment, sometimes directly involving discussion with the headteacher (S9) and other times not.

In terms of how pay recommendations were made, the steps along the way for P18 were typical for larger schools, involving the headteacher performance management committee handing over its evaluation of performance to a separate finance committee, which would then put forward a recommendation to the full governing body as the case study field notes indicate:

> The HTPM committee makes a recommendation to the governing body about whether they think the HT's performance merits a pay increase. The Finance and Staffing committee make the decision about whether she will get a pay increase and if so, how much.

However, for most schools, the survey of chairs of governors found that 86% of committees also made decisions about pay with just under one-third of these performing this as a separate part of the review process. Two-thirds of governing bodies with separate processes regarding awarding pay reported that some members of the appraisal group are involved in decisions about pay, but the pay process involves other governors as well.

Thus, even when the process was separate the membership of the committees might substantially overlap, presumably because these were the members of the governing body who had substantive expertise in related areas. In some schools, most evidently smaller schools such as P12, there was little capacity for separate committees and the review committee's evaluation included a recommendation around pay.

The link of performance with pay was controversial. Several case study chair interviewees mentioned the difficulty of retaining a highly competent headteacher at a time when they could be recruited - head-hunted - by others. In a competitive market for high quality headteachers, especially from academies, there are implications for remuneration. Such pressures compel governing bodies to focus on the quality – and sophistication – of headteacher performance management processes in retaining and recruiting headteachers. Some governing bodies were happy to award their headteachers what might appear generous pay awards, especially at a time when teacher salaries are fairly static, in an attempt to retain their services. With the diminution of the LA role, governors did not have access to benchmarking data, which could have implications for pay, especially in regards to gender.

A number of chairs noted that the connection was problematic. As one chair remarked:

> PRP values the wrong things: money rather than the kids. But people want parity and if paying people more can take financial worries away, that's good. But money is a great de-motivator, a distraction. The real reward is making a difference to students. (S14)

Headteachers also mentioned that they found it challenging to 'initiate a discussion about pay' (P9) with governing body members who did not have an in-depth understanding of PRP. In one instance, the headteacher had not been awarded a point after what he thought was a challenging year because of what he felt was a strict interpretation of a very demanding objective by the panel.

Important headway on the objective had been made according to the headteacher, however the head had not satisfied the panel that progress was adequate. The headteacher had subsequently earned two points for their performance the following year, but the inflexibility of the committee and the pay decision was still on the headteacher's mind.

Making headteacher performance management more effective

In the surveys both headteachers and chairs of governors were asked 'what single change would most improve the quality of headteacher appraisal in your school?' An analysis of responses to this question about improving the quality of headteacher performance management related to time, training and advice, external advisors, pay, data and overall rigour. Illustrative quotes from this open-ended question are given below in Box 3.1 (for chairs of governors) and Box 3.2 (for headteachers).

Box 3.1

Chairs of Governors

What single change would most improve the quality of headteacher appraisal in your school?

Training, guidance and advice

- Sight of other 'anonymised' headteacher appraisals

- Better training for governors on what an outstanding head should do

- Benchmarking

- Regular training for newbies and training updates or bulletins for more experienced govs to remind us what to do/to look out for

- Availability of online training

- Training for new governors to give them the confidence to question harder

- Joint training for headteachers and governors so that 1 single set of advice can be followed and headteacher can better understand/trust the role of governors in the process

- Electing those members with HR experience onto committee and ensuring all complete relevant governing body training

- Discussion/advice from knowledgeable people in headteacher performance management

- Better understanding of how to measure effective leadership in the profession

Time – timeline, time for training and data analysis

- Less time pressure on the appraisal process

- Time line for completion to link to academic year

- More time to investigate and reflect on the wider research into successful leadership in schools

- More time for discussion beforehand with the external adviser

Data

- Easier to understand centrally produced data so we can focus on using info to challenge more quickly - currently need spend lots of time getting clear understanding of RAISEonline before we can start to probe details.

External advisor

- I think the present procedure works well provided the external adviser is of the right calibre and the appraisers can be sufficiently objective and rigorous

- Totally independent external advisor - NOT having bonds of friendship/fellowship

- Training for external advisers - the governors train to make sure they handle it well, but we don't always get the same level of commitment from the adviser

Rigour

- Less straitjacket and pretending that performance appraisal in education is different from elsewhere

Pay

- Revise pay regulations with guidance of pay for system leadership roles

- More flexibility with the terms and conditions of pay to reflect what is actually happening in education today eg NLE, academies, teaching schools and more government/public recognition of what these heads/teachers actually take on under the terms of accountability

- Removal of the pay aspect as governors can be 'pressurised' into having a more positive view of the headteacher's performance in order to make a pay award

- Bench marking pay is difficult, but not impossible

- Separating it from pay. Currently, employees are less likely to be frank and honest if their pay would be adversely affected by a 'confession' that they could have done better

Move responsibility to others

- Provide HMI to assist appraisal of NLE

Box 3.2

Headteachers

What single change would most improve the quality of headteacher appraisal in your school?

Good external advisers - Having a knowledgeable external advisor to work with

More time - Regular conversation with me about my role-my aspirations and challenges. Just taking an interest in ME!

Recognition - Recognising just how hard I do work! Understanding that even if my targets were not my targets they would still be achieved.

More reviews - I am the only person monitoring my progress against objectives, until the end of each year's cycle.

HT Professional development - a link to my development and the resources ring fenced for it

Pay - being able to pay for performance once reached top of ISR

- The governing body raising the subject of pay progression rather than me having to ask for a pay rise - most unsavoury!

Better data - having benchmarking data available for special schools

Move responsibility to others - being reviewed by someone who has a background in education or has been a head teacher, not someone who has no experience or training

- Remove governors from the process completely and operate it with either LA, LLP, external advisors - all those who are involved in education and have been credible headteachers.

Rigour - create a more 360 degree assessment which focuses not only on targets set but how the school/head has responded to additional challenges throughout the year.

Key messages

As noted throughout this report, the use of headteacher performance management for organisational development and bolstering internal accountability is an integral aspect of effective headteacher performance management. Less visible were ways that attributes of organisational development were explicitly tied to individual personal and professional development. This is an area in which many governing bodies could focus their development.

D. Capacity for effective performance management

Governor expertise

The fourth important aspect for effective headteacher performance management that emerged from our data analysis concerned capacity and capacity building. Expertise requires an understanding not only of the school's data and how to provide challenge but in terms of reciprocal accountability, how to provide appropriate support for the challenge. There was evidence of the necessity for considerable high quality expertise for the headteacher performance management process to be secure and to be so within the context of high quality governing body processes. The external advisor has an important role in bringing expertise to the process where it may be lacking.

The surveys of both heads and chairs sought their views of the governing body's expertise for managing the headteacher performance management process. As can be seen from Figure 3.5 there were again important differences between the two sets of respondents. There were some differences between primary and secondary school respondents, with secondaries more likely to 'strongly agree' that their governing body had the necessary expertise (Figure 3.6).
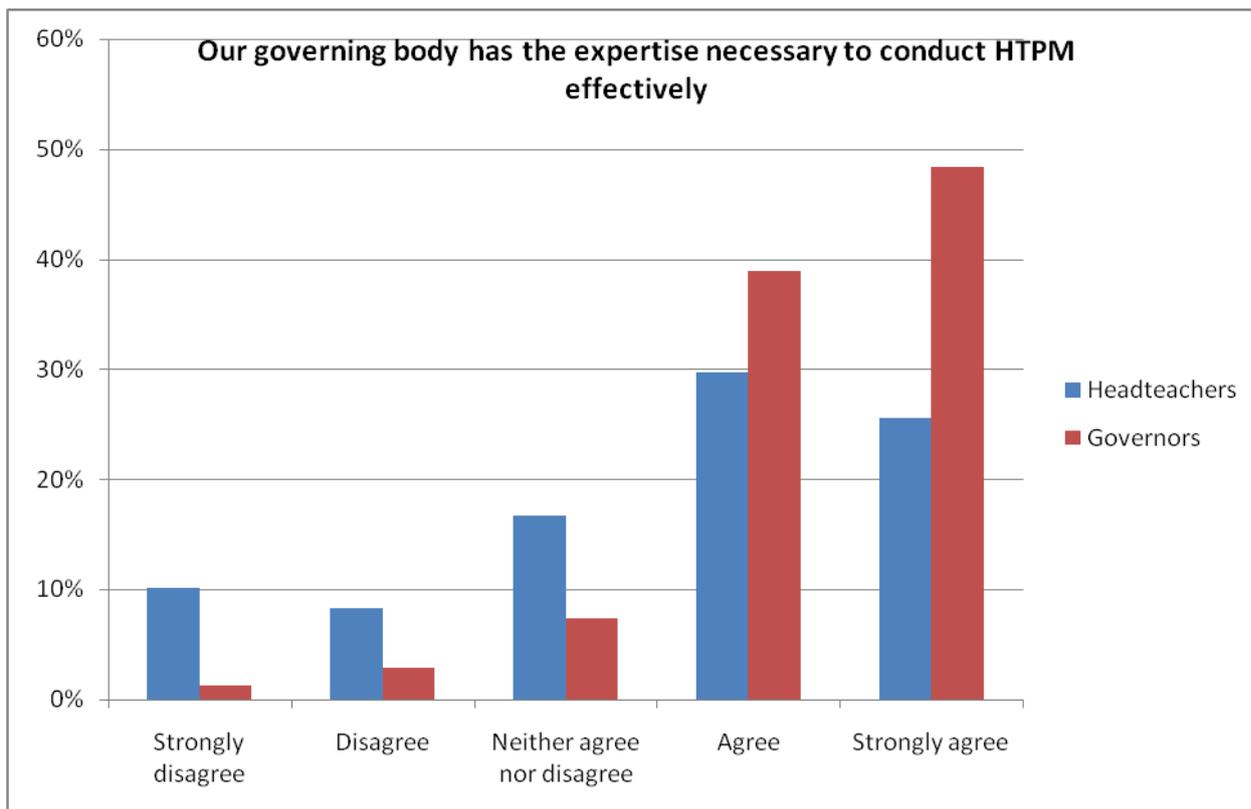
Figure 3.5: Governors' (n=1069) and headteachers' (n=147) views on governing body expertise for headteacher performance management
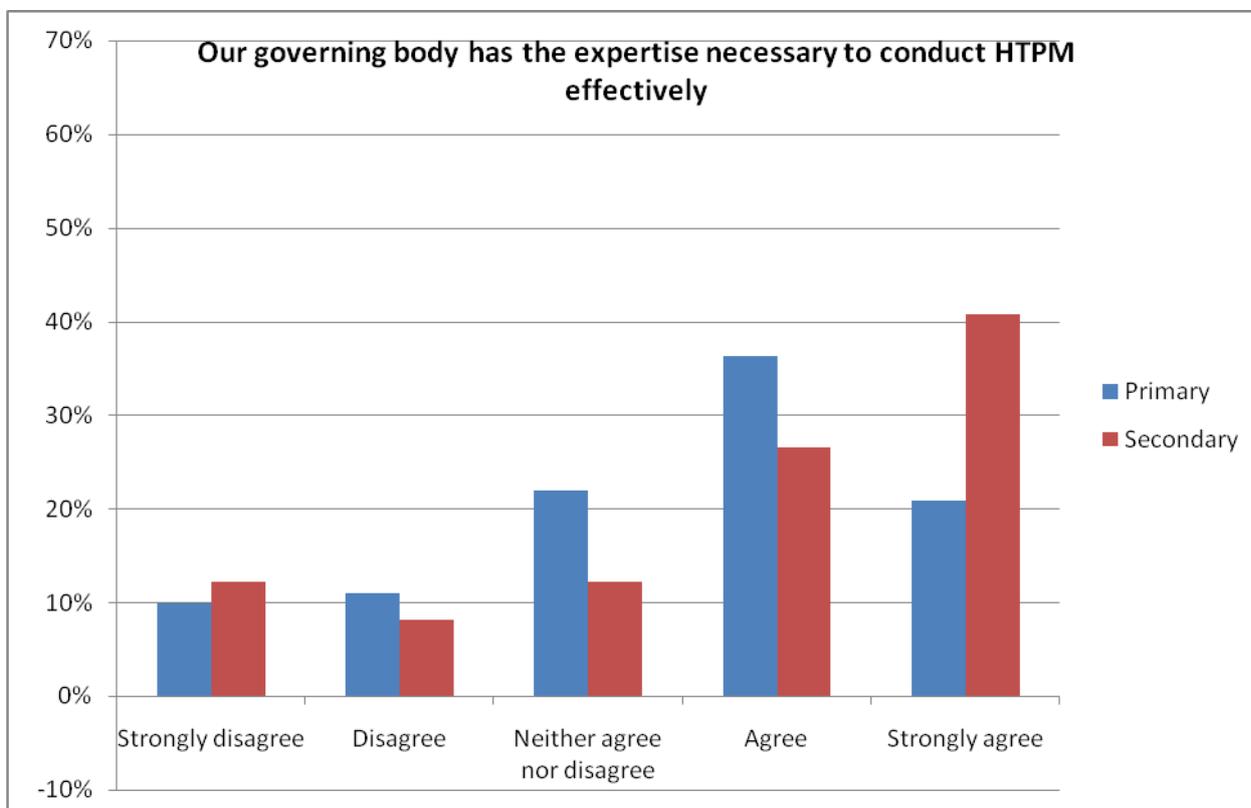
Figure 3.6: headteachers' views on governing body expertise for headteacher performance management, showing the difference between primary (n=80) and secondary (n=43) schools

In one of the case study schools (S11), increased autonomy through becoming an academy had impacted on their governing and headteacher performance management practice. They were determined to improve the workings of the governing body in all areas. They were committed to and valued headteacher performance management and to ensuring rigour in the process. They recognise their increased responsibility as a corporation (an academy). As the chair put it: 'In the last 18 months we've upped the tempo re how we do things.'

In this case and the case of others, governor vacancies were being carefully filled – in some cases schools were interviewing prospective governors to ensure any skill gaps were being filled – and 'passenger' governors were being encouraged to depart.

One of the areas that appeared most challenging was governing body capacity for working with identifying and supporting the headteacher with individualised personal and professional development goals. This is a point where the external advisor, who was typically an experienced educational professional, played an important role. However, negotiating the balance of accountability and development was a frequently mentioned challenge, especially for governing bodies in their relationship with external advisors. As we mentioned earlier, one of the national MATs in the study (MAT-B) made a clear distinction between the developmental and accountability functions of performance management as two distinct roles.

Training for governors

The external advisor was also frequently mentioned by governors in interviews and in the survey as playing a developmental role for the chair and other governors in terms of putting into place and implementing effective headteacher performance management. Few external advisors mentioned this capacity-building role explicitly in interviews.

The survey asked chairs of governors to list the top three topics for training and/or development that would be of greatest value to them in improving the quality of the headteacher performance management process. Chairs of governors identified issues relating to the technical and legal formalities of headteacher appraisal, understanding data, pay, managing relations with the head, setting and monitoring objectives, benchmarking and external advice (see Box 3.3).

Box 3.3

Top topics for training and/or development that would be of greatest value to governors in improving the quality of the headteacher performance management process.

Legislation and regulatory issues

- What makes a good and effective appraisal

- A single reliable repository of all the structure and regulation around HT and staff appraisal: we all seem to spend vast amounts of time recreating wheels and are usually left feeling uncertain we have covered all the bases

- The capability process

- Well informed trainers who have up to date knowledge of new legislation

- Key paperwork to ensure consistency

- A clear, detailed understanding of the role description of a headteacher, how it works in practice and which elements contribute most and least to the performance of a good school. An opportunity to spend time observing how two or three very good headteachers operate, with an opportunity to discuss their observations with the headteachers concerned, along with an informed mentor /tutor. The opportunity to shadow the work of an effective review panel at a school with a proven track record

Understanding data

- Familiarity with self-evaluation form (SEF), school improvement partner (SIP) and RAISEonline.

- Keeping abreast of the data analysis systems available for use in school to monitor attainment and progress.

- Understanding the data governors need to see to find out how well the school is performing throughout the year, not just at the end of a key stage.

Money

- What to do when the cash runs out and there are no further progression points for the head teacher

- Training on the use of the various pay scales and their limitations

- Advice about pay expectations

79

- Understanding pay progression

- The information governors must have to ensure decisions re pay are made through a transparent process.
- Understanding how the school provides value for money

Headteacher relations

- How to support and challenge
- Working relationship with head
- Should the head not meet objectives, and not be awarded increment and makes an appeal - the potential for breakdown in the working relationship between head and key govs and how to effectively and legally manage that
- How to deliver frank and constructive comments on poor performance

Benchmarking

- How to use benchmarking
- How to judge the headteacher against the headteacher standards
- Training on the links between headteacher performance and school performance: what is it that good headteachers do to materially influence the outcomes schools achieve (leading teachers; setting an example; shaping teaching methods; involving stakeholders; etc)

Setting and reviewing objectives

- Examples of initiatives headteachers have taken and outcomes obtained. Having access to such a list would fertilise debate about headteacher objectives and outcomes that could be shaped from our own circumstances
- A relatively easy way of recording all the information as you progress through the year
- Measuring success
- Identify evidence and appraising it. Triangulating evidence

External advice

- Finding external advisers

- The importance of the right external advisor
- Involving other stakeholders in appraising the school

Key messages

It was challenging for governing bodies to identify and support the headteacher with individualised personal and professional development goals. The mix of expertise and experience varied depending on the school's context and the conditions of the school. Expertise required on the governing body comes from governors' work in other sectors and in other formal roles. Sustaining the expertise required was a concern of several governing bodies, who had implemented ways to integrate new members into the process. The external advisor can play an important role in mediating between individual needs of the headteacher and organisational goals, as well as working with the governing body to develop its capacity to enact effective headteacher performance management. Drawing on expertise from NLEs, LLEs, and NLGs as external advisors would be a way for some governing bodies to improve the way governors deal with the most challenging 'pinch points' in the process.

E. Responding to underperformance

This section summarises material from elsewhere in the report and annexes to address responses to three types of underperformance in relation to headteacher performance management – underperformance of the headteacher, of the governing body and of the school. Supporting examples highlight specific actions and their impact in relation to each type of underperformance. As we have noted previously, in none of the case studies were the headteachers underperforming or performing poorly. Thus headteacher performance management was not being used to improve marginal or underperformance. However, we did hear of historic examples where inadequate headteacher performance management had not revealed underperformance by the headteacher. Also, both of the MATs in the study had extensive experience in turning around failing or poorly performing schools led by ineffective headteachers.

Several interviewees considered that underperformance of the school or the headteacher was often only addressed when there was a crisis, most frequently a disappointing inspection report. One of our interviewees suggested that governors tend to wait until underperformance was identified through a poor Ofsted report, suddenly finding themselves underprepared to address a critical situation, especially with regards to appropriate process in relation to the headteacher. The interviewee considered it essential that governors should have ongoing access to good HR advice, especially in terms of managing underperformance. In other cases, governors do not realise that there were problems with the capability of the headteacher. Governors need training to have difficult conversations. An outside perspective, from an external adviser or school improvement partner, was crucial in helping governors by bringing to bear expert experience and knowledge that can help headteacher performance management be more effective. In examples where there had been previous failure of headteacher performance management, the quality of external adviser advice had also been shown to be inadequate.

School, headteacher or governing body underperformance may all be present at the same time, or become apparent independently. If both the headteacher and the governing body are underperforming, resulting in school underperformance, then it is extremely likely that external intervention will be required, with replacement of governing body members and perhaps the headteacher. The research identified cases where this had occurred in the past and where the changes made were having a positive impact on the school. Noteworthy in the examples below is the role of an external agency, often a poor Ofsted inspection, in identifying weaknesses and prompting action. Also significant is the contribution of an external adviser, whose skills and experience are used to provide an accurate, objective view of the school's

overall performance and progress and sometimes to provide additional school improvement support.

Making a fresh start when headteacher underperformance, governing body underperformance and school underperformance have been identified by an external body

Example A

In case P19, a voluntary aided (VA) primary school, the diocese had identified the poor performance of the governing body and had asked an experienced governor, who subsequently became the chair of governors, to join in a support role. A new headteacher was appointed to his first headship post just before an Ofsted inspection in 2011, which downgraded the school from 'good' to 'satisfactory'.

Response to underperformance by governors

Governors had tended to defer to the previous headteacher and had not questioned the information presented to them about the school. Modelling by the new chair and the external adviser, together with improved understanding of data, has enabled governors to develop as critical friends and to ask challenging questions.

Data collection and analysis by governors has been much improved:

- Data are collected throughout the academic year;
- The school dashboard is used and is considered governor friendly;
- One governor is good at statistics, looking at data tables and asking questions about the data;
- Qualitative data are collected in school by observing and talking with teachers, children and subject leaders.

However, despite the progress that has been made, the chair of governors considers that there is further work to do in developing governing body capacity for critical and strategic thinking.

Improved performance management for the new headteacher

Previously headteacher performance appraisal was not well managed, being regarded as a tick box exercise to meet the requirements of the local authority rather than as a tool to change practice.

- The school researched how other schools carry out the process and it has been working on developing a more comprehensive performance management process that encompasses appraisal as one aspect.

- The external adviser is used effectively to provide an objective view and is 'particularly robust' in challenging the headteacher's performance evidence.

- Objectives are designed to be SMART and are accompanied by an action plan.

- The headteacher's objectives are designed to improve his skills as an inexperienced head and to benefit the improvement of the school. For example, he conducts joint observations with other local headteachers and has taken part in a moderation exercise with other local schools. This is beneficial in ensuring that judgements about quality of teaching and internal assessment are accurate.

- Ongoing monitoring of progress is in place, both through a formal mid- year meeting and through ongoing discussion with the chair of governors.

Impact on school performance

- Previously, many teachers were considered satisfactory or inadequate; increasingly, more lessons are deemed good or outstanding.

- Information is available about children's progress throughout the school.

- Data on quality of teaching and progress is used to inform the school's development plan.

- There is clarity about what still needs to be done, for example in the distribution of leadership.

Example B

At a secondary school, P12, the school had received a 'satisfactory' Ofsted report, it had then been amalgamated with another school, and the head had retired. A new headteacher was appointed to the school, and a further Ofsted inspection just before she arrived said that the school now 'requires improvement'. The new head was experienced, and there was a new chair of governors.

Response to underperformance by governors

- The chair worked with the governing body to appoint several new members with relevant professional expertise. For example, one new governor was a retired college principal.

- Long-standing governors have realised that their former ways of working were unacceptable and undertook training and development so that they could be critical friends - questioning and challenging the head and the senior team.

- Governors have learned about the effective use of data.

- Governors have a clear focus on their own working relationships and efficiency.

- Very good relationships and leadership by the chair of governors have underpinned the rapid improvement in the quality of governance at this school.

Improved performance appraisal for the new headteacher

The reinvigorated governing body wanted to assure themselves that school improvement was on track, and to give them confidence both in the new head, and also in their own governance, which had been challenged by the Ofsted judgement.

- In the first year, they introduced rigorous 360-degree assessment for headteacher performance appraisal with input collected from the senior team, key governors, staff and students to draw up objectives.

- External expertise from the school's previous school improvement partner was used to collect information for the 360-degree assessment. The school improvement partner has been further employed to continue to support the school during the period when the school is in an Ofsted category.

- Monitoring involves regular discussion between the headteacher and the chair. This includes discussion of emotional pressures on the head in turning around a challenging school and of her work-life balance.

Impact on school performance

- The 360-degree assessment showed that the perspective of all stakeholders, including students, were treated seriously by all parties involved.

- Improved use of data, including that collected for the 360 degree assessment, have been used to inform future planning for the school.

Underperformance of the governing body

Responses to the questionnaire indicated that headteachers are less likely than governors themselves to rate the performance of the governing body as effective. Several of our expert interviewees noted that headteachers may need to 'manage up' to improve the quality of governance and oversight at a school, particularly with regard to headteacher performance management. The research identified examples where headteachers have worked hard to improve the quality of governance at their schools as part of their efforts to improve the school as a whole.

Proactive work by the headteacher to raise the role of governors in improving a school

Example

S10, a small secondary school with falling rolls, has an experienced headteacher who saw her current post as the culminating position in a long and successful career working in voluntary-aided schools in very challenging circumstances. The headteacher, in close consultation with the local authority, decided that the school would not survive without a dramatic restructuring of staffing and of the governing body.

Response to underperformance by governors

- The head recruited an experienced educator and entrepreneur who lived in the community to join the board. He agreed to take over as chair, with the new parish priest serving as vice-chair.

- Chairs of the committees were made accountable for outcomes in their area and for collecting evidence of achievement. They draw on information from reports about the achievement and progress of the students, from financial statements and from governors' first-hand knowledge following visits to the school.

Improved performance management for the headteacher

Managing the performance of the head was a ritualistic exercise until the new chair took over. He drew on his experience of implementing performance management in his own business and worked with the head to develop an approach to her appraisal that was tightly integrated with comprehensive performance management focused on the development of the school overall.

- Committees of the governing body now hold responsibility for overseeing progress against particular school objectives.

- Staff and governors review information together to determine school priorities for the school improvement plan and responsibility for these.

- Priorities in the school development plan inform performance objectives for the head. These are complemented with leadership and management priorities as well as personal objectives that are not part of the school development plan.

- Monitoring of the head's individual objectives is closely integrated with monitoring of school progress against school development plan priorities through termly updates, with input from the external adviser.

- ongoing conversations between the chair and the headteacher and the chair and the vice-chair ensure continuous monitoring of progress.

Impact on school performance

The local authority had arranged a report on the school from an LA-appointed school improvement adviser, whom the school has also taken on as external adviser for headteacher performance management. The local authority set specific targets for the improvement of teaching, student attainment and achievement, and for raising student numbers. Improvements made were validated by an Ofsted inspection in 2013.

- Students make good or better progress from very low starting points

- Inadequate teaching has been eradicated, leading to improvements in teaching and achievement across many subjects

- Governors are clear about the strategic direction that the governing body wants the school to take. The governing body works systematically to ensure that all of the school's actions are well thought out and evaluated for impact

- Governors, the headteacher and leadership team are aware of continuing weaknesses in some subject teaching and are working to remedy these.

Underperformance of the headteacher

None of the governing bodies visited had been involved in managing serious headteacher underperformance through the use of capability procedures. However, expert interviewees and headteachers and governors in schools visited have been unanimous in stressing the importance of open and honest relationships, clear accountabilities and knowledge of the school as crucial to identifying and responding to underperformance at an early stage. Shared values about pupil outcomes form the basis for discussions which may require 'awkward questions' and challenge. The accuracy of the information provided to governors is a critical factor, particularly where information is provided through headteachers' reports. There may be cases where these are, intentionally or unintentionally, misleading.

Governors in schools visited used a variety of externally validated pupil performance data, such as RAISEonline or data dashboards to assess performance. Collection of evidence from other stakeholders is also used to give governors confidence in the headteacher, such as through the use of 360-degree feedback in case schools P12 and S5, exit interviews as in case school S8 or governor visits which include discussion with teachers and pupils, as in case school S15. In some interviews, governors or the headteacher highlighted the importance of accurate knowledge about the quality of teaching and learning and a questionnaire response referred to

the challenge of gaining accurate knowledge about pupils' progress throughout a key stage. External advisers, or moderation exercises with other schools as in case P19, were drawn upon to confirm the accuracy of the school's own assessment data and teaching observations.

When asked about managing serious underperformance, some school interviewees drew on wider experience to explain what they would do if required. Thus one interviewee highlighted the importance of seeking advice from HR specialists, to ensure that all procedures were followed meticulously and that accurate records were kept. Governors also spoke of the different approaches required for managing and improving the performance of an inexperienced headteacher as being 'completely different' from that of managing one with extensive experience. Governors in an outstanding school visited suggested that leadership standards and personal development objectives would be used if this were to be the case. At school P12, governors were utilising headteacher performance management to support a new headteacher in his personal and professional development, and effectively tying this into their overall plans for school improvement. Headteacher performance management is based on a training and personal development model, which sees the headteacher's own wellbeing and personal development as a crucial part of headteacher performance management. At P9, early in the new headteacher's time at the school, the objectives were related to the national standards for headteachers.

Managing marginal headteacher performance

Example

Multi-academy trust MAT-A sets clear expectations for performance of all school heads through a coherent educational model. An interviewee from MAT-A had explicit views on the way headteacher performance management can be used to address under-performance:

> These targets help crystallize where somebody just isn't doing it. You have to be explicit. It's often quite difficult, people reluctant to say anything against the head. You need some hard yardsticks that say, actually if you look at progress of every other school... We have to be able to judge when a colleague is doing well enough in a school and when they're genuinely not.

MAT-A employs close monitoring and individualised support to strengthen headteacher performance in struggling schools within the trust. The principal of each academy is 'line managed' by the director of education, who holds primary responsibility for managing the performance of all principals.

- Regular, trust-wide, assessment reports on the progress of each school offer clear evidence of rapid improvement in a wide variety of school contexts. In so

doing, principals are not able to use the unique circumstances of their contexts to justify their school's underperformance. The senior officer remarks, 'We rapidly expose heads to an educational model and highlight what's good without slamming them in the face with what they're doing wrong'.

- The core educational elements and tracking data offer a clear framework of where all schools need to be, along with clear progress expectations that are sculpted to each school and provide explicit evidence where there is underperformance.

- There is no automatic progression for school principals and the evaluation of performance serves as the basis for all determination of pay.

- The broad support of a wide network and the precise support of specific opportunities for professional development address two central challenges that the Trust faces. Those challenges have to do with the diverse range of leadership experience and skills with which principals of struggling schools enter the Trust, as well as their lack of familiarity with the model. Performance management serves to identify precise objectives that are clearly tethered to school objectives and to overall elements of the educational model of the Trust. The broad array of personal and professional development opportunities ensure that principals of struggling schools have the means to master the educational model for their school and reach those challenging objectives.

- An overarching managerial frame allows leaders to focus on specific matters and receive individualised support for core issues of teaching and learning without the need to attend to many other facets of school operations that might require attention in a struggling school.

Managing variation in headteacher performance

Although not considered as issues of 'underperformance', there were some allusions in interviews to relatively minor issues regarding the performance of the headteacher. If neglected, these issues might have affected the quality of work in the school as a whole. In all cases, it was the informal monitoring and ongoing conversations between the head and governors, particularly the chair, that enabled these to be addressed within a framework of open and trusting relationships. Thus in one secondary school, meetings between the chair and senior leaders had revealed that the head tended to be too directive and this information was used to challenge the head to 'loosen up'. In another school, data from interviews with staff prompted governors to discuss issues of staff turnover and wellbeing in a school where there was constant pressure to excel. In this outstanding school, considerable sensitivity and 'keeping the dialogue open' was needed to raise the issue with a headteacher

who was personally performing at a very high level. 'Trying to do too much' was the case in a further school where an incoming headteacher had shown the effects of stress during his first term in post. In these schools, the issues mentioned had occurred in the past, with the continuing success of both school and its headteacher testifying to the success of these 'soft' and ongoing monitoring approaches, embedded within a comprehensive system for management of performance spanning the organisation.

Chapter 4: Discussion - key ideas and challenges

Good governing is at the heart of effective headteacher performance management. Good governing and effective headteacher performance management hinge on robust challenge and generative support facilitated by constructive dialogue and a climate of trust. Conversely, ineffective headteacher performance management and poor governing are both marked by a lack of dialogue, a sense of powerlessness, inappropriately placed trust and lack of clarity of focus. A striking feature of the whole data set was the way that effective headteacher performance management was part of effective governing. In all cases, it was clear that headteacher performance management was securely embedded in the annual cycle of the governing body's work. It would arguably be surprising to find headteacher performance management carried out effectively by an ineffective governing body. Equally so, it would be somewhat noteworthy to find an effective governing body carrying out headteacher performance management poorly. There is a good case for arguing that the way headteacher performance management is carried out is a leitmotif for governing body effectiveness. Effective headteacher performance management indicates effective governing; the two are complementary.

In this chapter, we consider the key ideas and challenges raised by the data. Again, we will use the four elements of our model to structure the highlights, beginning with the mode of governing as a defining aspect of headteacher performance management and then raising some of the important features that an effective process requires. We conclude with a discussion of the relationship between effective headteacher performance management and a well-functioning governing body.

Governance environment

Headteacher performance management and modes of governing

Headteacher performance management can be particularly challenging for governors largely because it may require the governing body to move from stewardship mode of governing - where the headteacher is part of the collective that takes responsibility for the conduct of the school - to a principal-agent mode. The headteacher in effect becomes the Chief Executive Officer who is employed by the lay governors to manage the school. There can be a shift in relationships at this point and the trust that can be part of 'normal' governing relationships may appear to be under-valued. Interestingly, in a number of cases, it was the external advisor that enabled that move from the stewardship mode to principal-agent mode to be achieved relatively comfortably. The external advisor played a part in checking that

the evidence demonstrating the objectives had been met was appropriate, providing the review panel with information on school performance, mediating between the panel and the headteacher over disagreements, ensuring that objectives set were appropriate/sufficiently challenging, and in some instances undertaking monitoring visits. However, such an important role also carried the potential for abuse. Such was the extent of the external advisor's involvement in some cases, the governing body almost appeared to be 'contracting out' a large part of the management of the process to the external advisor.

Procedures

The headteachers' role in performance management

Just as good headteachers want good governing bodies (James et al 2010), good headteachers want good headteacher performance management. Research has shown that investing in an effective governing body can be hard work for headteachers (who often have other more pressing concerns) but valuable in the long run. The headteachers' role in ensuring their own effective performance management featured as a theme in a range of ways; it was apparent:

- through their commitment to the process (which was considerable in some cases).

- in the way they often ensured that the process was carried through thoroughly and undertaken appropriately.

- by them making sure the governing body had the capacity to undertake the process.

- by engaging the services of an independent and expert external advisor to support the process.

These endeavours were part of the work headteachers frequently have to undertake to ensure that the governing body understands its responsibilities and have the capacity to fulfil them (James et al 2010).

The Importance of high quality relationships

As with so many school governing processes, the effectiveness of headteacher performance management was founded on high quality relationships between the principal actors – the headteachers, the headteacher performance management panel members (usually including the chair) and the external advisor. The quality of these relationships tended to be couched in terms such as openness, trust, and integrity. Those qualities in turn enabled a frank discussion of the issues. Those

qualities may help those involved to understand and take up their roles fully in a secure and well managed process. However, there is an equally strong case for arguing that when the process is securely managed and all those involved understand the process and their role in it, sound and trusting relationships can develop. This latter perspective is an argument for well-managed and effective headteacher performance management helping to create an appropriate relationship context for good governing.

The importance of data

Where headteacher performance management was effective, 'data' and 'evidence' in some form appeared to play a role. There were many examples where governors had to develop their ability to interpret and make constructive use of data in order to play a full part in headteacher performance management. This conclusion lends support to initiatives by Ofsted (data dashboards), the Fisher Family Trust, the DfE (through RAISEonline), NGA and Welcome Trust and others to provide detailed and easily understood data about the performance of their school. However, respondents were keen to tell us that not all the headteacher performance management objectives had measureable outcomes that relate directly to pupil attainment and can be seen in examination and test results. Such 'hard' objectives and associated evidence contrast with 'soft' objectives which relate to developing certain organisational qualities, the achievement of which may not be directly reflected in student outcomes and evidence derived from other sources such as 360 degree appraisal or staff, student and parent surveys.

The importance of adapting headteacher performance management

It was clear that the schools we studied, identified as evincing effective approaches to headteacher performance management performance management, were broadly following a standard set of headteacher performance management processes. These included: setting objectives; monitoring progress to meeting those objectives (in most cases); a review process where evidence that the objectives had been achieved was presented, new objectives were set, and pay awards and incremental rises were or were not made. These processes parallel those set out in the wider management literature that we reviewed in chapter 2.

It was also clear that the schools where headteacher performance management was effective were adapting the process described above appropriately according to circumstance and in various ways. The adaptations may reflect the school's circumstances and its progress on the improvement pathway. They may reflect the experience, expertise and overall performance of the headteacher. In some schools, the headteacher performance management process had been adapted substantially,

for example in the scope and thoroughness of the data collection on the headteacher's performance or because of the challenging context in which the school was working.

Returning to the levels of organisational integration of performance management outlined by Bouckaert and Halligan (2008) presented in earlier chapters, the procedure for headteacher performance management in our case study schools, for the most part, falls under their level of 'managements of performance'. That is, there is evidence of a clear link between governing body oversight and performance improvement, but concurrent systems may be in operation both in terms of roles within the school (headteacher, other professional staff, other staff) as well as defining priorities across operational systems of the school, and strategic alignment of individual and organisational priorities. We did find evidence of clear efforts and some mature systems to achieve coherence across the organisation, including convergence around explicit goals, the hallmarks of what Bouckaert and Halligan (2008) view as 'performance management' as distinct from 'managements of performance'.

Finally, the multi-academy trusts (MATs) aimed towards 'performance governance' in their ability to set system-wide priorities and procedures. It is clear that the MATs served as an important structural element across trust schools to define acceptable and exceptional practice as well as what constituted appropriate indicators of performance, a role that had been assumed solely by local authorities in the recent past. Nonetheless, school-level governing bodies within the broader trust have far more constrained responsibilities in contrast with the expanding responsibilities and consequent challenge taken on by counterparts in autonomous academies.

Outcomes

Setting objectives

There are three key outcomes of performance management systems – accountability, development and reward. The headteacher performance management process was clearly used to hold headteachers responsible to the governing body and to the school community, so there was evidence of robust internal accountability. Headteachers were typically required to provide evidence, which was scrutinised by an external expert (the external advisor) that they had met the objectives that had been previously set. These objectives were typically linked – sometimes very closely - to school development plans and associated success criteria, and a clear link was thus established between the headteacher's

performance and overall school performance, especially with reference to attainment or standards.

Given the link between a school's need/requirement to meet external accountability measures, which will be experienced by the headteacher perhaps very strongly, there is a possibility that headteachers may be at the focus of three powerful accountability pressures:

- accountability to the governing body and the school community
- their own professional accountability
- external accountability pressures, e.g. from Ofsted.

In this context, governors have a responsibility in the headteacher performance management process for ensuring that they do not overburden headteachers with too many or inappropriately aggressive objectives. If they do, there may be a danger that 'unintelligent accountability' may result which in turn may well undermine the headteacher's motivation, their sense of creativity and their essential commitment to the task at hand. Of course such objectives may be deployed in an attempt to encourage the headteacher to move to pastures new but in the majority of our case studies the issue was more one of 'retention' – how to keep excellent headteachers and allow them to engage in activities which would ensure they were sufficiently motivated and did not wish to take up fresh challenges.

Overall, we were surprised that 'developmental' objectives did not have a higher priority and feature more prominently.[25] A headteacher will of course develop by working on performance objectives but there is a case for headteacher development objectives to be given a stronger profile. In the previous scheme discontinued in the mid-2000s it was stipulated that one of the objectives set would relate to the head's personal development. Others related to pupil attainment and organisational development (Crawford and Earley, 2004).The governing bodies we spoke with and those who responded to our survey note that this advice was being largely followed. However, the aspect of personal development was largely applied in an instrumental way and was not nearly as well developed as organisational objectives. We view it as vital that headteachers are explicitly given opportunities to develop their practice and refine their skills particularly in the current rapidly changing context.

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[25] See Case Study MAT-B Aiming towards performance governance.

Performance-related pay

The reward aspect of headteacher performance management featured in effective headteacher performance management, and was closely integrated with all other aspects of the headteacher performance management process. Again, as with the accountability aspect of headteacher performance management, this aspect of the system is open to misuse. Governing bodies may want to develop explicit guidelines on this to avoid difficulties. It is very important at that governors stand firm and not offer a pay reward when objectives have not been met. Similarly, governors giving of a pay award when appropriate agreed objectives have been met is equally important. One key issue identified was governors' lack of comparative knowledge about what heads in similar schools and contexts earned and what was reasonable given the current labour market conditions. In the past some LAs had provided such 'benchmark' data to school governing bodies.

The management of high performing headteachers

A number of the governing bodies we studied were using headteacher performance management as part of the process of managing the professional life of expert headteachers. This (so-called) 'talent management' was important and seemed especially so for those respondents who referred to managing their headteachers in a competitive market for expert headteachers. Ensuring that high performing headteachers were appropriately remunerated and had rewarding professional lives thus became a significant part of the headteacher performance management process. In some instances, managing very able/long-standing headteachers entailed extending their role – for example as system leaders (National or Local Leaders of Education or Ofsted inspectors). This strategy in turn created some difficulties. Does headteachers' performance in these roles feature in their performance management? Arguably these developments will feature even more widely in future headteacher performance management and will need to be reflected in headteacher performance management processes. The school teachers' review body (STRB) has been asked to give these matters consideration in its next report in 2014.

Capacity

Effective headteacher performance management and performance leadership

We are very aware that our study emphasises the easily identifiable appraisal aspects of the headteacher performance management cycle. This is the element of performance management that garners the most attention in terms of external accountability. We were equally aware that internal accountability, the ongoing management of a headteacher's performance by the governing body, is in a sense continuous work. Of course, good headteachers will be effective self-evaluators and self-managers but as we found even good headteachers may value the governing body's presence in 'keeping them on track', holding them accountable to their own vision of the school and its direction of travel.

In order to have the capacity to do so, the governing bodies that were overseeing effective headteacher performance management in our study had done two things: a) they had explicitly recruited governors who had experience and expertise in performance management as part of their daily work; b) they had crafted clear plans and a succession strategy to broaden participation of governors in the work of performance management. Some of the chairs had worked with governors to restructure the governing body so that committee responsibility aligned with distinct school priorities. In this way, the committees 'owned' various objectives and had the responsibility for deep understanding of that aspect of the headteacher's work.

There is however another aspect to the way headteachers can be supported in their work and that is in the 'everyday' interchanges where the governors exert positive influence. These include governors showing appreciation for the headteacher's efforts, seeking to motivate them, and offering headteachers helpful advice, guidance, support and encouragement. This kind of work is an important but undervalued aspect of performance leadership. We heard evidence of this kind of positive influence by governors, especially in interactions between the chair and headteacher, and both headteachers and governors reported its beneficial effect.

It is in headteacher performance management that the governing body reveals the extent to which it has successfully negotiated the demands of internal and external accountabilities and has been able to interpret and contribute to the headteacher's vision of the school.

Chapter 5: Conclusions and recommendations

This chapter describes ten of the most salient elements of effective headteacher performance management in order to present clearly the conclusions and recommendations from the project. Under each element we include a brief characterisation of how that feature might be realised and elaborate implications of a feature for holders of key roles in the process.

The features of effective headteacher performance management are the following.

Effective headteacher performance management is integrated with the school development plan

Coherent organisational development and the cultivation of internal accountability for development across the school are important foundations of effective headteacher performance management

Recommendations for those involved

Chairs – Ensure that headteacher performance management is woven into the processes of developing, implementing and evaluating the SDP.

Governors – Secure governing body 'ownership' of headteacher performance management and SDP through active involvement of a range of governors in processes of development, implementation, review.

External advisers – understand fully the relationship between the objectives in the SDP and headteacher performance management objectives and processes.

Headteachers – Align headteacher performance management objectives with SDP objectives.

Policymakers – Consider consequences of policy on elaboration of SDP and knock-on effects for headteacher performance management.

Effective headteacher performance management has a secure annual cycle of objective-setting and review together with interim monitoring

The cycle should follow clear procedures and be tailored to the needs of the school. Objective setting and the monitoring of objectives need to make use of appropriate sources of information. Regular interim monitoring should consist not only of monitoring progress against school performance objectives but provide a reflective moment for headteachers and Governors to take stock of the individual performance of the headteacher on the full range of her or his objectives.

Recommendations for those involved

Chairs – Secure headteacher performance management cycle as integral and explicit part of the annual schedule of governing body activities.

Governors – Ensure that in the governing body's work, the headteacher's performance management is a regular part of ongoing activities.

External advisers – Evaluate needs of all involved and advise on appropriate approaches to meeting those needs as an aspect of ongoing governing body activities in relation to headteacher performance management.

Headteachers – Develop SMART objectives that are clearly aligned with SDP objectives. Seek overall alignment of staff performance objectives with SDP objectives.

Policymakers – Consider consequences of policy on elaboration of SDP and knock-on effects for performance management of all staff.

Effective headteacher performance management is underpinned by sound relationships, characterised by openness, trust and integrity, among all those involved

Headteacher performance management hinges on mutual respect, trust, candour and a willingness to challenge and to be challenged. Of particular importance are the relationships among the headteacher, the external adviser and the chair of governors

Recommendations for those involved

Chairs – Pay close attention to tenor of relationship—formality/informality, respect, trust, willingness to challenge and be challenged.

Governors – Work collaboratively and professionally to ensure that headteacher performance management —and all school governing matters are underpinned by appropriate relationships.

External advisers – Consider advising chairs and headteachers to make use of external mentors to help relationships develop in constructive ways (e.g., LLG/LLE, NLG/NLE).

Headteachers – Take responsibility for cultivating dynamic, high-functioning relationships, particularly if that means cultivating appropriate challenge.

Policymakers – Clarify systems of support for developing sound relationships.

Effective headteacher performance management involves the setting of meaningful and challenging but achievable objectives for the headteacher

The breadth and precision of the headteacher's objectives, the quality of performance information and productive engagement of stakeholders reflect the experience, maturity and quality of overall management processes within the school

Recommendations for those involved

Chairs – Pay close attention to the ways that personal and professional goals mesh with organisational needs.

Governors – Support and challenge those involved in headteacher performance management to design, use and evaluate objectives that align with school vision and take into consideration individual needs.

External advisers – Help governors understand well-constructed objectives through examples and modelling. Work with governors to develop objectives tailored to the needs of the headteacher and the school.

Headteachers – Work with the external adviser and chair headteacher performance management develop SMART objectives that foster school and individual goals.

Policymakers – Promulgate national standards that are recognised as templates for effective objectives and permit flexibility for individual school needs.

Effective headteacher performance management strikes an appropriate balance between internal and external accountability, development and reward

External accountability and visibly demonstrating progress against objectives serve as the overarching motivation for setting ambitious objectives and for constructive uses of performance information throughout the organisation.

Providing recommendations for performance-related pay is an important outcome of the process that is among the most challenging, even for governing bodies and headteachers with well-developed performance management processes. The challenge will increase as performance-related pay becomes the norm throughout schools and across the educational system.

Recommendations for those involved

Chairs – Make sure that pay recommendations are handled sensitively.

Governors – Recognise the need for 'reciprocal accountability', challenge accompanied with appropriate support.

External advisers – Provide benchmarking across schools for governors, and advise on ways of rewarding through pay.

Headteachers – Help governors to understand the importance of regularly reviewing pay as part of headteacher performance management.

Policymakers – Provide examples for governors, perhaps through NLGs, of instances in which the process is well-developed and effective.

Effective headteacher performance management makes use of a wide variety of data from a range of sources to inform and underpin decision-making

Data are regularly used as part of the ongoing monitoring of school performance. The use of clear, consistent and timely data of a range of kinds is an important input into the headteacher performance management process. Typically the external advisor ensures that the headteacher performance management process is underpinned by sound data and appropriate data use.

Performance or attainment data are most prevalent in providing evidence of achievement. Condensed data displays, such as the 'data dashboards' produced by Ofsted, are not yet widely adopted and offer governing bodies ready access to a range of indicators that might be useful in monitoring school performance and raising questions about and/or praising individual performance.

Recommendations for those involved

Chairs – Evaluate existing performance indicators/information and consider needs of school and headteacher in seeking to expand the range of information used for decision-making.

Governors – Identify and make use of performance information that is most appropriate to *your* school and headteacher. Consider alternative forms of evidence, such as 360-degree feedback if the context requires it.

External advisers – Assist governors in evaluating integrity and appropriateness of performance information in use and help develop awareness around alternatives and appropriate uses of data.

Headteachers – Ensure that governors are experienced in the use of clear, consistent and timely data throughout the year, not only during annual review.

Policymakers – Continue to provide guidance to governing bodies on data and their appropriate uses.

Effective headteacher performance management is evaluated and adapted over time to meet evolving requirements of individual circumstances and shifting school needs within a dynamic context of governance

Effective headteacher performance management evolves with the needs of the headteacher and the school. This entails regular reflection on how objectives, the process and its outcomes are meeting the needs of the individual headteacher and the school.

Recommendations for those involved

Chairs – Review the cycle of planning for headteacher performance management and take into account the need for regular reflection and discussion on important areas of leadership, which may vary depending on the context of the school.

Governors – Conduct regular updates on the performance management of all staff, including the headteacher, but within bounds of personal confidentiality.

External advisers – Provide advice and assistance to the process from knowledge of other school contexts.

Headteachers – Ensure that the process meets both school l and individual needs, and is an investment in their own professional development.

Policymakers – Provide resources to those involved in the process to understand effective headteacher performance management and how to adapt approaches to various contexts.

Effective headteacher performance management is appropriate for the stage of development of the school and the headteacher

The link between headteacher performance management and holistic approaches to performance management throughout the school became clear when examining the connections between performance management and other management processes in the school. The external advisor has an important role to play in making these connections explicit.

Recommendations for those involved

Chairs – Maintain a good overall grasp of the connections between performance management and overall management processes in use with governing body.

Governors – While the governors do not need to have in-depth understanding, they should have a clear grasp and understanding of connections amongst governing body management processes, school organisational processes and headteacher performance management in relation to the quality of education in the school.

External advisers – governing bodies typically benefit very substantially from the participation of an external advisor or consultant with appropriate expertise and knowledge of the school. The external advisor, as currently practiced, combines several roles, helping to sharpen the process as well as clarifying the links amongst external accountability, internal accountability, headteacher development and governing.

Headteachers – Ensure that appropriate organisational processes are in place and explicit connections exist between process of organising and headteacher performance management. Make certain processes are transparent and understandable to governing body.

Policymakers – Provide sound basis for development of highly-qualified external advisers and their assignment to schools. The availability of appropriately qualified external advisors and enabling ready access to them may be a concern in the future.

Effective headteacher performance management is viewed as part of an on-going and wider process of working with the headteacher and all members of staff to ensure high levels of performance

Managing the progress of the school as an organisation and managing the headteacher are ongoing and intertwined processes for intelligent internal accountability.

Recommendations for those involved

Chairs – Work with governors to help them better understand the processes in place for intelligent internal accountability.

Governors – Understand the developmental and evaluative uses of performance management and seek coherence with overall process of governing and managing the school.

External advisers – Have excellent preparation and seek ongoing opportunities to develop professional capacity to work with a range of schools in improving the

headteacher performance management process and developing the capabilities of all involved to promote intelligent internal accountability.

Headteachers – Ensure that headteacher performance management is viewed as one part of a coherent, on-going and all-through approach to managing performance of staff within the school.

Policymakers – Seek ways of promoting performance leadership throughout the school system.

Effective headteacher performance management is integral to the development of overall governing body capacity to meet the needs of the school.

Our case studies and the research evidence from other sources make clear that effective headteacher performance management is an attribute of highly-effective governing bodies.

A focus on developing the governing body's capacity for effective performance management of the headteacher can serve as a fulcrum for improving the governing body's overall efficacy. Effective oversight of the headteacher is the most important part played by the governing body in the overall governance of the school. The challenge is to ensure that all school governing bodys are in a position to play that part.

Summary

Effective headteacher performance management is integral to the development of overall governing body capacity to meet the needs of the school. Our case studies and the research evidence from other sources make clear that effective headteacher performance management is an attribute of highly-effective governing bodies. A focus on developing the governing body's capacity for effective performance management of the headteacher can serve as a fulcrum for improving the governing body's overall efficacy. Effective oversight of the headteacher is the most important part played by the governing body in the overall governance of the school. The challenge is to ensure that all school governing bodies are in a position to play that part.

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Appendix A: Research design and methods

Phase I: Synthesis of evidence

The review aimed to (a) synthesise the main ideas, approaches and debates about performance management and appraisal of senior leaders with relevance to headteacher performance management in England; and (b) draw implications from this synthesis for the implementation of effective headteacher performance management in schools as well as the training and development of those involved in carrying out headteacher performance management. The review addressed four questions:

- What are the key ideas, approaches and debates about performance management and appraisal of senior leaders that are of greatest relevance to headteacher performance management in England?

- What are the implications of ideas, approaches and debates for enabling consistently strong headteacher performance?

- What are the implications of ideas, approaches and debates for addressing underperformance in schools in England?

- What are the key points for training and development of governors?

An initial scoping exercise mapped the characteristics of the effective performance management of senior leaders, identified acknowledged barriers to successful implementation, and drew out core lessons for leadership and management through a synthesis of published work from academic and non-academic sources. The research team scanned bibliographic databases, websites and periodicals for relevant and high-quality sources produced from 2006 to the present. We used the following criteria to establish relevance and quality:

Relevance ratings

High   Salient to both review questions and of direct relevance to key stakeholders and/or the process of managing headteacher performance management in England.

Medium   At least moderately relevant to one or both questions and providing insights for at least one key group of stakeholders involved in headteacher performance management.

Low   Slightly relevant to questions and providing limited insights.

Quality ratings

High   quantitative study involving a sample of large scope or intensive case-study that covers a range of settings and stakeholders, systematically conducted with awareness of applicability and limitations of findings. A systematic review of existing evidence.

Medium studies of modest scope with findings that apply to clearly defined settings or conditions. Studies that include a limited range of stakeholders. Non-systematic reviews.

Low   Anecdotal observation or opinion, based on limited scope (one setting, one individual's views)

This led to the identification of 106 abstracts of publications deemed relevant on initial review (Appendix 3). If an abstract was not available, reviewers focused on parts with high information content (e.g., title, contents list, headings, pictures, charts).

Preliminary review

Preliminary review entailed completing the items indicated with an asterisk on the review sheet for each included item. The preliminary review required reviewers to extract descriptive information (e.g., type of literature, methods used, sample, and conclusions) as well as make an initial assessment of relevance and quality.

Appraising the literature

We then selected those sources of evidence that scored high on relevance and at least medium on quality, resulting in 43 publications for inclusion in the synthesis developed for this report. One reviewer read the full text of each selected item and completed a review form.

Synthesising the literature

The review team then synthesised findings, using the consolidated appraisal sheets as a guide. The synthesis involved identifying emerging themes and key messages, as well as identifying gaps and contradictions in the sources of evidence. The synthesis was proportionally weighted to give the most weight to sources that received the most favourable assessments. Fifty-six (43 initially) of the sources deemed most relevant and of highest quality were used for the current synthesis.

A summary of findings is included in Chapter Two of this report. D, Bibliography of Sources, lists sources considered for review.

Phase IIa: Interviews

Emergent findings around effective practices were then used to explore current actual practice and barriers to implementation through face-to-face and telephone interviews (n=13) with those acknowledged as having comprehensive and/or highly informed views on performance management of senior leaders in a range of sectors (public, private, not-for-profit). We undertook the interviews in order to get a sense of what significant people saw as the key issues for performance management of senior leaders in their contexts. The interviewees provided valuable information on the different ways in which PM can be approached, and were able to outline clearly some of the challenges, as well as suggest solutions.[26]

Phase IIb: Surveys of governing bodies and headteachers

We used the systematic review and interviews to design two online questionnaires, one for headteachers (147 responses) and the other for governors responsible for headteacher performance management at their school (1,069 responses). Both questionnaires were designed for state-maintained schools and academies in England and covered the processes of headteacher performance management at the school, the uses of performance information in these processes, and the training and development needs of the governing body in relation to headteacher appraisal.

Both surveys were reviewed by the advisory group as well as piloted with practitioners not associated with the study.

The survey of governing bodies launched on 5th March and closed on 28th March. Notice about the survey was distributed by direct email to National Leaders of Governance and Coordinators of Governor Services, as well as through the National Governors Association weekly bulletin, the National Leaders of Education March newsletter and professional networks of our respective institutions, We received 1,069 responses. A summary of fixed-choice results from the survey appears in Appendix B.1.

Based on feedback from reviews and the pilot, we decided to delay the survey of headteachers until the end of the summer term. The survey ran from 16th June to 1st

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[26] Some respondents were happy to be identified, while others asked that their comments remained anonymous. In this report we have indicated the sector with which the interviewee was associated (education, other public sector, third sector, private sector) but have avoided direct attribution.

August. The response compared to the governors was disappointing with only just under 147 responding. A summary of fixed-choice results from the survey appears in Appendix B.2.

Phase III – Case studies

Based on initial analysis of surveys, interviews and the literature, we developed a sampling frame for identifying 20 case studies of schools and school groups around the country (Appendix C). The case studies were selected from responses to the governing body questionnaire and suggestions of interviewees, phone/email contact with Coordinators of Governors Services as well as following up with other contacts to elicit nominations. Researchers visited each school or group of schools for one day, conducting hour-long, semi-structured interviews of the headteacher, the chair of the governing body and one other governor, and an external advisor. We also interviewed representatives from the central headquarters of two Multi-Academy Trusts (MATs), both of which had schools in more than one region of the country.

As part of the fieldwork, the research team developed interview schedules, a case report template, a case summary template, and outlines for both standalone case studies and vignettes. Outlines and an illustrative case appear in Appendix C2.b; similar information for vignettes appears in Appendix C.3b.

Phase IV – Analysis and writing-up

The final phase involved reducing data, generating findings and developing cross-case as well as cross-modal (e.g., survey x case findings) analyses. Case researchers prepared individual case summaries for each case study school or school group. Two researchers then independently analysed the summaries and developed a cross-case analysis of emerging themes. They then compared their analyses and developed a composite analysis. Two other researchers analysed the closed- and open-ended questions for both the headteacher and governing body surveys. Findings from the case studies and the surveys were integrated in a draft chapter, and appear as Chapter 3 in this report. At the same time, we continued to stay alert to scan publications and bibliographic databases for additional literature. Out of several dozen possibilities, another ten were added to our final list of 56.

Appendix B.1 Survey of governors

Please note: Open-ended responses have been analysed and integrated with the analysis presented in Chapter 3. There are too many to present here.

Number of respondents: 1069

Section 1: You and your school

1. Please confirm that you are the lead or chair of the head teacher appraisal committee/group.		
Yes, I lead the appraisal process:	92.0%	984
No, I do not lead the appraisal process.:	8.0%	85
1.a. How many years have you led the process of appraisal in your school?		
1 year or less:	16.1%	150
2 to 5 years:	51.5%	479
More than 5 years:	32.4%	301

2. What is your role on the governing body?		
I am the chair of governors:	n/a	808
I lead the head teacher appraisal committee/group:	n/a	224
Other (please specify):	n/a	138

3. Is your governing body responsible for governing more than one school?		
one school:	96.5%	1029
a multi-academy trust:	0.9%	10
a federation:	2.1%	22
Other (please specify):	0.5%	5
3.a. If more than one school, how many schools?		
2:	78.6%	22
3:	14.3%	4
4:	3.6%	1
5:	3.6%	1
6+:	0.0%	0

4. What type of school best describes your school or group of schools?		
Academy:	n/a	116
Community:	n/a	593
Faith school:	n/a	253
Foundation:	n/a	84
Free:	n/a	5
Independent:	n/a	0
4.a. If you answered 'Academy' above, please indicate the type of		
Pre-2010:	3.7%	5
Sponsored:	5.9%	8
Converter:	59.3%	80
Other (please specify):	31.1%	42

5. What phase is your school? (If you are replying for a group of schools, please select the categories most representative of your group.)		
Nursery:	n/a	106
Infant:	n/a	124
Junior:	n/a	119
Primary:	n/a	701
First:	n/a	11
Middle (deemed primary):	n/a	3
Middle (deemed secondary):	n/a	5
Upper:	n/a	3
Secondary:	n/a	159
College/Sixth Form:	n/a	25
All-through:	n/a	12
Special:	n/a	44

6. Please select your region (or regions, if a group).		
North East:	n/a	57
North West:	n/a	337
Yorkshire:	n/a	67
East Midlands:	n/a	24
West Midlands:	n/a	74
East of England:	n/a	105
London:	n/a	121
South East:	n/a	170

South West:	n/a	115

Section 2: The structure of appraisal

7. How often does your school conduct a formal appraisal of the head		
Never:	0.0%	0
Less often than once a year:	0.0%	0
Once a year:	83.7%	872
More often than once a year:	16.3%	170

8. Does your governing body formally appoint a committee or group to oversee the head teacher appraisal process?		
Yes:	96.1%	1020
No:	2.7%	29
Other *(please specify)*:	1.1%	12
8.a. How many governors are on the committee?		
2:	25.0%	243
3:	67.6%	656
4:	6.8%	66
more than 4:	0.6%	6
8.b. Have any members of the committee experience in appraising staff from their current or previous working lives?		
Yes:	92.4%	937
No:	7.6%	77

9. Number of years the current process has been in place and length of head teacher service.		
9a. How many years has the appraisal process you led in 2012 been in place?		
1 year or less:	7.0%	74
2 to 5 years:	46.8%	491
6 to 10 years:	32.0%	336
more than 10:	14.2%	149
9.b. How many years has the head teacher been in post at your school?		
1 year or less:	12.8%	131
2 to 5 years:	42.6%	436
6 to 10 years:	28.9%	296
more than 10:	15.7%	161

10. Do members of the appraisal committee also make decisions about head teacher pay?		
Yes:	85.8%	881
No:	14.2%	146
10.a. If members of the appraisal committee make decisions about pay, is this as part of the review process or part of a separate process of determining pay?		
Part of the review process:	62.9%	585
Part of a separate process:	32.7%	304
Other *(please specify)*:	4.4%	41
10b. If you indicated that the processes are separate, please let us know which statement most accurately describes the involvement of governors:		
The same group of governors are involved in appraisal and in determining pay but in separate processes.:	24.1%	112
Some members of the appraisal group are involved in decisions about pay, but the pay process involves other governors, as well.:	65.6%	305
Other *(please specify)*:	10.3%	48

Section 3: Performance and appraisal

11. Does appraisal at your school emphasise assessment of the head teacher's performance against specific objectives?		
Yes:	99.6%	1045
No:	0.4%	4

12. Below is a list of common reasons for head teacher appraisal. Please indicate the importance of each in your most recent appraisal round.		
12.a. Head teacher development and professional growth -- Importance		
Very important:	58.1%	611
Important:	33.0%	347
Somewhat important:	6.7%	70
Minor importance:	1.4%	15
Not important:	0.4%	4
N/A:	0.4%	4
12.b. Determining head teacher pay -- Importance		
Very important:	15.8%	164
Important:	43.7%	455
Somewhat important:	26.3%	274
Minor importance:	8.8%	92
Not important:	3.2%	33
N/A:	2.2%	23
12.c. Standards of pupil attainment -- Importance		
Very important:	88.8%	939
Important:	9.8%	104
Somewhat important:	0.9%	9
Minor importance:	0.3%	3
Not important:	0.1%	1
N/A:	0.1%	1
12.d. Quality of teaching & learning -- Importance		
Very important:	91.4%	965
Important:	7.6%	80
Somewhat important:	0.8%	8
Minor importance:	0.2%	2
Not important:	0.0%	0
N/A:	0.1%	1

12.e. Performance management of school staff -- Importance		
Very important:	54.5%	572
Important:	35.0%	368
Somewhat important:	7.3%	77
Minor importance:	1.9%	20
Not important:	0.4%	4
N/A:	0.9%	9
12.f. School operations & finance -- Importance		
Very important:	28.8%	301
Important:	45.6%	477
Somewhat important:	18.8%	197
Minor importance:	4.7%	49
Not important:	1.3%	14
N/A:	0.8%	8
12.g. Accountability (e.g., Ofsted) -- Importance		
Very important:	54.1%	566
Important:	35.5%	371
Somewhat important:	8.0%	84
Minor importance:	1.4%	15
Not important:	0.7%	7
N/A:	0.3%	3
12.h. Progress against priorities in the school development plan -- Importance		
Very important:	77.6%	820
Important:	19.5%	206
Somewhat important:	2.5%	26
Minor importance:	0.2%	2
Not important:	0.2%	2
N/A:	0.1%	1
12.i. Other -- Importance		
Very important:	16.8%	65
Important:	13.1%	51
Somewhat important:	2.3%	9
Minor importance:	1.3%	5
Not important:	0.8%	3
N/A:	65.7%	255

13. If you indicated 'other' above, please elaborate.

14. What professional or other standards, if any, do you use to inform judgments about the head teacher's performance?		
Teachers' Standards:	n/a	199
National Standards for	n/a	616
None:	n/a	251
Other *(please specify)*:	n/a	139
14.a. If you wish, please tell us more about how you use standards to judge the head teacher's performance.		

15. How important to your appraisal of the head teacher's performance is each of the following sources of information?		
15.a. Self-reports generated by the headteacher -- Importance		
Very important:	39.1%	409
Important:	47.2%	493
Somewhat important:	11.1%	116
Minor importance:	1.7%	18
Not important:	0.3%	3
N/A:	0.6%	6
15.b. External monitoring reports -- Importance		
Very important:	57.5%	595
Important:	32.9%	341
Somewhat important:	5.7%	59
Minor importance:	0.9%	9
Not important:	1.0%	10
N/A:	2.0%	21
15.c. RAISEonline data -- Importance		
Very important:	57.0%	599
Important:	31.4%	330
Somewhat important:	7.4%	78
Minor importance:	1.2%	13
Not important:	0.8%	8
N/A:	2.1%	22
15.d. Pupil attainment and progress data -- Importance		

Very important:	80.1%	848
Important:	17.4%	184
Somewhat important:	2.2%	23
Minor importance:	0.3%	3
Not important:	0.1%	1
N/A:	0.0%	0

15.e. Other pupil data attendance, behaviour -- Importance

Very important:	42.6%	449
Important:	43.2%	455
Somewhat important:	10.3%	108
Minor importance:	2.6%	27
Not important:	1.0%	11
N/A:	0.3%	3

15.f. Teaching quality data -- Importance

Very important:	59.9%	628
Important:	31.7%	332
Somewhat important:	6.2%	65
Minor importance:	1.0%	10
Not important:	0.4%	4
N/A:	0.9%	9

15.g. Data on staff performance objectives -- Importance

Very important:	27.9%	294
Important:	40.6%	427
Somewhat important:	20.8%	219
Minor importance:	6.7%	71
Not important:	1.4%	15
N/A:	2.5%	26

15.h. Staff survey -- Importance

Very important:	5.7%	59
Important:	28.9%	299
Somewhat important:	24.7%	256
Minor importance:	13.1%	136
Not important:	6.3%	65
N/A:	21.3%	221

15.i. Financial data -- Importance		
Very important:	16.8%	175
Important:	40.5%	423
Somewhat important:	25.7%	268
Minor importance:	10.9%	114
Not important:	3.8%	40
N/A:	2.3%	24

15.j. Ofsted inspection results -- Importance		
Very important:	53.3%	559
Important:	33.7%	353
Somewhat important:	8.3%	87
Minor importance:	1.4%	15
Not important:	0.9%	9
N/A:	2.4%	25

15.k. Planning documents -- Importance		
Very important:	33.0%	344
Important:	42.1%	438
Somewhat important:	16.4%	171
Minor importance:	5.1%	53
Not important:	1.9%	20
N/A:	1.4%	15

15.l. Parent and/or community survey -- Importance		
Very important:	13.1%	136
Important:	36.9%	383
Somewhat important:	26.9%	279
Minor importance:	9.7%	101
Not important:	3.7%	38
N/A:	9.8%	102

16. What other sources of information not listed above are most important to the head teacher appraisal process?

17. Does your head teacher or does the governing body regularly use any means of putting together high-level school performance information at a glance (e.g., 'data dashboard')?		
Yes:	56.0%	583
No:	44.0%	459
17.a. If yes, please describe.		

Section 4: The involvement of others in the process

18. Prior to the formal appraisal, does the head teacher conduct an appraisal of her or his own performance?		
Yes:	83.9%	878
No:	16.1%	168

19. The next few questions ask about the external adviser, a consultant who may be hired by your school to advise you on the appraisal process. Does your school use the services of an external adviser?		
Yes:	98.3%	1034
No:	1.7%	18

19.a. If your school does not use an external adviser, please skip to the next question. If you do use an external adviser, tell us how you found her or him.		
Local authority:	n/a	427
School improvement partner:	n/a	571
National Leader of Education	n/a	20
National Leader of Governance	n/a	7
Governors' associations:	n/a	1
Diocese:	n/a	14
Local group of schools:	n/a	35
Multi-academy trust:	n/a	6
Other (please specify):	n/a	83

19.b. With which of these is your external adviser most closely associated (i.e., for whom do they currently work or have they worked most recently)?		
Local authority:	59.1%	612
Independent consultant:	31.5%	326
National Leader of Education	1.7%	18
National Leader of Governance	0.2%	2
Governors' associations:	0.1%	1
Diocese:	0.8%	8
Local group of schools:	3.4%	35
Multi-academy trust:	0.3%	3
Other (please specify):	3.0%	31
19.c. Does the head teacher meet with and/or consult the external adviser about her/his performance and performance objectives?		
Yes:	98.2%	1021
No:	1.8%	19
19.d. Do governors and/or the committee discuss the appraisal process		
Yes:	98.2%	1019
No:	1.8%	19

20. This question asks about seeking information from others about the performance of the head teacher, either formally or informally. Whose comments on the performance of the head teacher are sought as part of the formal appraisal review?		
chair of governors:	n/a	759
other governors:	n/a	689
teachers:	n/a	216
other staff:	n/a	113
external adviser:	n/a	839
pupils:	n/a	94
parents:	n/a	137
community members:	n/a	43
Other (please specify):	n/a	100

21. Does the chair of governors discuss meeting performance objectives with the head teacher outside of the formal process (e.g., discussion about meeting targets, review of performance information, etc.)?		
Yes:	83.6%	870
No:	10.1%	105
Don't know:	6.3%	66

21.a. If yes, how frequently do these discussions occur?		
Frequently (at least once a month):	30.8%	271
Occasionally (3 to 6 times a year):	52.0%	458
Rarely (1 or 2 times a year):	10.4%	9 2
Other *(please specify)*:	6.8%	6

Section 5: Head teacher appraisal at your school

22. Please indicate how much you agree with the following statements.		
22.a. The external adviser provides valuable input into the appraisal process.		
Strongly disagree:	1.0%	1
Disagree:	2.3%	2
Neither agree nor disagree:	3.0%	3 2
Agree:	18.6%	198
Strongly agree:	74.2%	789
Not applicable:	0.9%	1
22.b. The members of the governing body understand the process of		
Strongly disagree:	0.9%	9
Disagree:	2.8%	2
Neither agree nor disagree:	9.7%	102
Agree:	50.6%	531
Strongly agree:	36.0%	378
Not applicable:	0.0%	0

22.c. Governors readily put themselves forward to serve on the appraisal		
Strongly disagree:	2.5%	2
Disagree:	11.8%	124
Neither agree nor disagree:	24.0%	253
Agree:	41.1%	432
Strongly agree:	17.8%	187
Not applicable:	2.9%	3
22.d. The governing body as a whole rarely discusses the performance of		
Strongly disagree:	12.2%	129
Disagree:	32.5%	343
Neither agree nor disagree:	16.2%	171
Agree:	26.4%	279
Strongly agree:	11.8%	124
Not applicable:	0.9%	9
22.e. The appraisal committee challenges the head teacher about meeting objectives.		
Strongly disagree:	1.2%	1
Disagree:	1.4%	1
Neither agree nor disagree:	3.6%	38
Agree:	34.5%	365
Strongly agree:	58.9%	623
Not applicable:	0.4%	4
22.f. The chair of governors and the head teacher have frank discussions about the head teacher's performance.		
Strongly disagree:	1.2%	1
Disagree:	3.7%	3
Neither agree nor disagree:	10.8%	114
Agree:	33.6%	355
Strongly agree:	49.2%	520
Not applicable:	1.4%	1

22.g. The process yields clear information about the head teacher's areas of strength and those aspects in need of improvement.

Strongly disagree:	0.8%	9
Disagree:	3.0%	3
Neither agree nor disagree:	6.6%	70
Agree:	44.0%	467
Strongly agree:	45.1%	479
Not applicable:	0.5%	5

22.h. The process yields clear information about areas of strength across the school and those in need of improvement.

Strongly disagree:	0.9%	9
Disagree:	2.2%	2
Neither agree nor disagree:	4.5%	48
Agree:	37.6%	398
Strongly agree:	54.2%	573
Not applicable:	0.7%	7

22.i. The process is closely related to the process of teacher performance appraisal at the school.

Strongly disagree:	1.2%	1
Disagree:	5.0%	5
Neither agree nor disagree:	15.0%	158
Agree:	43.8%	463
Strongly agree:	34.1%	360
Not applicable:	0.9%	9

22.j. Our governing body has the expertise necessary to conduct head teacher appraisal effectively.

Strongly disagree:	1.0%	1
Disagree:	2.8%	3
Neither agree nor disagree:	7.7%	81
Agree:	39.7%	420
Strongly agree:	48.4%	512
Not applicable:	0.3%	3

22.k. The head teacher uses the results from her/his appraisal to further her/his professional development.			
	Strongly disagree:	1.0%	1
	Disagree:	2.5%	2
	Neither agree nor disagree:	9.1%	9 6
	Agree:	41.5%	440
	Strongly agree:	45.0%	477
	Not applicable:	0.9%	1
22.l. It was a challenge to identify an appropriate external adviser.			
	Strongly disagree:	30.2%	318
	Disagree:	41.0%	431
	Neither agree nor disagree:	12.9%	136
	Agree:	8.7%	9
	Strongly agree:	4.0%	4
	Not applicable:	3.2%	3
22.m. Those who make up the appraisal committee have recently undertaken training about the process.			
	Strongly disagree:	4.5%	4
	Disagree:	24.4%	258
	Neither agree nor disagree:	21.3%	226
	Agree:	32.7%	346
	Strongly agree:	15.7%	166
	Not applicable:	1.4%	1
22.n. The appraisal process at our school is fit for purpose.			
	Strongly disagree:	1.3%	1
	Disagree:	2.4%	2
	Neither agree nor disagree:	7.4%	7 9
	Agree:	45.7%	485
	Strongly agree:	42.5%	451
	Not applicable:	0.7%	7

Section 6: Challenges of head teacher appraisal

23. Please list the three most difficult aspects of appraising the head teacher at your school.

24. How have you or could you overcome the most difficult aspect?
25. What single change would most improve the quality of head teacher appraisal in your school?

Section 7: Guidance used for current approach

26. Please rate the importance to your approach to head teacher appraisal of the following sources of		
26.a. Guidance and documents used within our school -- Importance		
Very important:	36.1%	375
Important:	39.7%	413
Somewhat important:	15.0%	156
Minor importance:	4.4%	4
Not important:	2.2%	2
N/A:	2.6%	2
26.b. Guidance and documents used within our group of schools -- Importance		
Very important:	5.1%	5
Important:	14.9%	147
Somewhat important:	13.7%	135
Minor importance:	11.1%	109
Not important:	8.3%	8
N/A:	46.8%	461
26.c. The DfE -- Importance		
Very important:	12.9%	132
Important:	35.9%	366
Somewhat important:	28.0%	286
Minor importance:	14.3%	146
Not important:	5.7%	5
N/A:	3.1%	3

26.d. The local authority -- Importance

Very important:	25.0%	257
Important:	34.8%	358
Somewhat important:	22.5%	232
Minor importance:	8.7%	9
Not important:	5.1%	5
N/A:	3.9%	4

26.e. Head teacher unions/professional associations -- Importance

Very important:	3.4%	3
Important:	17.7%	179
Somewhat important:	27.6%	279
Minor importance:	24.2%	245
Not important:	16.9%	171
N/A:	10.2%	103

26.f. The National Governors' Association (NGA) -- Importance

Very important:	8.0%	8
Important:	25.1%	257
Somewhat important:	27.2%	278
Minor importance:	19.1%	195
Not important:	12.6%	129
N/A:	7.9%	8

26.g. Governor(s) with expertise -- Importance

Very important:	52.5%	542
Important:	37.0%	382
Somewhat important:	6.8%	7
Minor importance:	1.3%	1
Not important:	1.0%	1
N/A:	1.5%	1

26.h. A National Leader of Education (NLE) -- Importance

Very important:	3.5%	3
Important:	10.9%	109
Somewhat important:	17.2%	172
Minor importance:	15.6%	156
Not important:	21.6%	216
N/A:	31.1%	310

26.i. A National Leader of Governance (NLG) -- Importance		
Very important:	4.2%	4
Important:	9.7%	9
Somewhat important:	16.9%	167
Minor importance:	16.8%	166
Not important:	21.5%	213
N/A:	30.8%	305
26.j. External adviser -- Importance		
Very important:	69.8%	731
Important:	23.5%	246
Somewhat important:	3.7%	3
Minor importance:	1.0%	1
Not important:	0.7%	7
N/A:	1.3%	1
26.k. Contacts with other chairs of governors -- Importance		
Very important:	6.9%	7
Important:	21.4%	218
Somewhat important:	22.4%	228
Minor importance:	17.3%	176
Not important:	17.6%	179
N/A:	14.4%	147
26.l. Other -- Importance		
Very important:	6.8%	3
Important:	4.1%	2
Somewhat important:	1.2%	6
Minor importance:	2.3%	1
Not important:	4.9%	2
N/A:	80.7%	394

27. If you indicated 'other' above, please elaborate:

Section 8: Your and others' training

28. Have you undertaken training for the appraisal of your head teacher?		
Yes:	73.1%	766
No:	26.9%	282
28.a. If yes, when did you take part in training?		
This year:	16.7%	128
Within the past three years:	45.7%	351
More than three years ago:	37.6%	289

29. Have other members of your governing body undertaken training for appraisal of your head teacher?		
Yes:	63.8%	661
No:	36.2%	375
29.a. If yes, how recently have they taken part in training?		
This year:	16.5%	108
Within the last three years:	63.7%	418
More than three years ago:	19.8%	130

30. If you or other governors have received training, who provided the training?		
Our group of schools/Multi-academy trust:	n/a	6
The local authority:	n/a	760
The National Governors' Association:	n/a	4 1
Other *(please specify)*:	n/a	9
30.a. If you have received training, how was the training provided?		
By accessing online materials:	n/a	99
Training courses, seminars (held at the school):	n/a	55
Training courses, seminars (held at an external venue):	n/a	704
Workbooks or other printed materials:	n/a	75
Other *(please specify)*:	n/a	22

31. If you have received in-person support, how was the support provided?

Mentoring/coaching with another chair:	n/a	30
Mentoring/coaching with a National Leader of Governance:	n/a	8
Mentoring/coaching with a National Leader of Education:	n/a	8
Mentoring/coaching by the external adviser:	n/a	274
Other *(please specify)*:	n/a	44

32. What do you think have been the most useful forms of training, support and/or guidance about head teacher appraisal for your governing body?

33. What do you think were the most useful areas covered in the training, support and/or guidance that your governing body received?

34. Please list the top three topics for training and/or development that would be of greatest value:

35. Have you, the chair or the governing body made any plans to prepare other governors for service on the appraisal committee in the future?

Yes:	41.9%	433
No:	58.1%	601

35.a. Please tell us what is being done, if anything, to prepare other governors for service on the appraisal committee in the future (e.g., informal conversations about interest, recruit interested governors to attend training, etc.).

Section 9: Assessing your head teacher appraisal

36. Overall, how would you rate the effectiveness of head teacher		
Highly effective:	33.0%	348
Effective:	56.8%	600
Neutral:	7.9%	83
Ineffective:	1.3%	14
Highly ineffective:	1.0%	11
36.a. Please briefly explain your answer to the above question.		

37. If you have any other comments on the process of head teacher appraisal or on this survey and our study, please note these below.

Appendix B.2 Survey of Headteachers

Please note: Open-ended responses have been analysed and integrated with the analysis presented in Chapter 3. There are too many to be presented here.

Number of respondents: 147

Section 1: Assessing your appraisal

1. Overall, how would you rate the effectiveness of head teacher appraisal at your school?		
Highly effective:	14.5%	19
Effective:	51.1%	67
Neutral:	21.4%	28
Ineffective:	9.9%	13
Highly ineffective:	3.1%	4
1.a. Please briefly explain your answer.		

Section 2: The structure of appraisal

2. Does your governing body appoint a committee or group to oversee your appraisal?		
Yes:	93.9%	123
No:	4.6%	6
Other *(please specify)*:	1.5%	2
2.a. How many governors are on the committee?		
2:	20.0%	22
3:	75.5%	83
4:	3.6%	4
more than 4:	0.9%	1

3. Do members of the appraisal committee also make decisions about your pay?		
Yes:	80.2%	101
No:	19.8%	25
3.a. If YES, is this as part of the review process or part of a separate process of determining your pay?		

Part of the review process:	77.4%	82
Part of a separate process:	14.2%	15
Other *(please specify)*:	8.5%	9

3.b. If NO, please let us know which statement most accurately describes the involvement of governors:

The same group of governors are involved in appraisal and in determining your pay but in separate processes.:	16.7%	5
Some members of the appraisal group are involved in decisions about your pay, but the pay process involves other governors, as well.:	60.0%	18
Other *(please specify)*:	23.3%	7

Section 3: Setting objectives

4. What professional or other standards, if any, are used in establishing objectives for your performance?

Teachers' Standards:	n/a	19
National Standards for Head Teachers:	n/a	67
None:	n/a	45
Other *(please specify)*:	n/a	18

5. Below is a list of general areas under which specific objectives might fall. Please indicate the importance of each in terms of the objectives used for your last or most recent appraisal.

5.a. Your professional development and growth -- Importance		
Very important:	21.1%	27
Important:	30.5%	39
Somewhat important:	21.1%	27
Minor importance:	21.9%	28
Not important:	5.5%	7
N/A:	0.0%	0

5.b. Pupil attainment/achievement -- Importance		
Very important:	82.2%	106
Important:	14.7%	19
Somewhat important:	3.1%	4
Minor importance:	0.0%	0
Not important:	0.0%	0
N/A:	0.0%	0

5.c. Quality of teaching and learning -- Importance		
Very important:	70.3%	90
Important:	17.2%	22
Somewhat important:	8.6%	11
Minor importance:	3.1%	4
Not important:	0.0%	0
N/A:	0.8%	1
5.d. Staff Performance management -- Importance		
Very important:	27.2%	34
Important:	28.8%	36
Somewhat important:	19.2%	24
Minor importance:	14.4%	18
Not important:	7.2%	9
N/A:	3.2%	4
5.e. School operations and finance -- Importance		
Very important:	8.9%	11
Important:	27.6%	34
Somewhat important:	26.8%	33
Minor importance:	18.7%	23
Not important:	13.0%	16
N/A:	4.9%	6
5.f. Partnership with other schools -- Importance		
Very important:	5.6%	7
Important:	33.6%	42
Somewhat important:	24.0%	30
Minor importance:	20.8%	26
Not important:	12.8%	16
N/A:	3.2%	4

5.g. Accountability (e.g., Ofsted) -- Importance		
Very important:	40.3%	50
Important:	28.2%	35
Somewhat important:	13.7%	17
Minor importance:	9.7%	12
Not important:	5.6%	7
N/A:	2.4%	3

5.h. Priorities in the school development plan -- Importance		
Very important:	55.5%	71
Important:	27.3%	35
Somewhat important:	8.6%	11
Minor importance:	3.9%	5
Not important:	2.3%	3
N/A:	2.3%	3
5.i. Other -- Importance		
Very important:	22.4%	11
Important:	10.2%	5
Somewhat important:	6.1%	3
Minor importance:	0.0%	0
Not important:	4.1%	2
N/A:	57.1%	28

6. If you indicated 'other' above, please elaborate.

7. Who is most involved in setting your objectives?		
I am:	n/a	86
Chair of the Governing	n/a	43
Relevant committee of the GB:	n/a	77
GB as a whole:	n/a	1
External adviser:	n/a	87
Other:	n/a	6
Other *(please specify)*:	n/a	10

8. What are the three most important sources of information used to
8.a. One -- Sources of information
8.b. Two -- Sources of information

8.c. Three -- Sources of information

9. Do decisions about your pay depend on the meeting of your objectives?		
Yes:	89.2%	116
No:	10.8%	14
9.a. Please comment on the links, if any between your performance, the meeting of objectives and pay (PRP).		

10. Does your appraisal result in a development plan to meet your		
Yes:	52.3%	68
No:	47.7%	62
10.a. If YES, who is most involved in creating the development plan?		
I am:	27.1%	19
Chair of the Governing	7.1%	5
Relevant committee of the GB:	15.7%	11
GB as a whole:	0.0%	0
External adviser:	38.6%	27
Other *(please specify)*:	11.4%	8
10.b. If YES, is the completion of any development activities reviewed in the next appraisal process?		
Yes:	94.8%	55
No:	5.2%	3

11. Please select the statement that best completes the sentence, 'The link between my appraisal and my development plan is …'		
Non-existent:	20.7%	25
Very slight:	15.7%	19
Quite close:	14.0%	17
Very close:	31.4%	38
Very close indeed:	18.2%	22
11.a. If you answered Non-existent or Very slight, please explain how your development plan is established.		

Section 4: The involvement of others in the process

12. The next few questions ask about the external adviser, school improvement partner or consultant who may advise you and the GB on the appraisal process. Does your school use an external adviser?		
Yes:	95.3%	123
No (If no, please go to Question 13.):	4.7%	6
12.a. With which of these is your external adviser most closely associated (i.e., for whom do they currently work or have they worked most recently)?		
Local authority:	52.0%	64
Independent consultant:	33.3%	41
National Leader of Education:	4.1%	5
National Leader of Governance:	0.0%	0
Governors' associations:	0.0%	0
Diocese:	0.0%	0
Local group of schools:	1.6%	2
Multi-academy trust:	0.0%	0
Other *(please specify)*:	8.9%	11
12.b. Do you meet separately with and/or consult the external adviser about your performance and objectives?		
Yes:	88.8%	111
No:	11.2%	14
12.c. Do governors and/or the committee discuss your appraisal with the		
Yes:	97.6%	123
No:	2.4%	3

13. Do you talk with the Chair of the GB about your objectives and progress towards meeting them outside of the formal process (e.g., discussion about meeting targets, review of performance information, etc.)?		
Yes:	57.7%	75
No:	42.3%	55
13.a. If YES, how frequently do these discussions occur?		
Frequently (at least once a month):	16.7%	12
Occasionally (3 to 6 times a year):	58.3%	42

Rarely (1 or 2 times a year):	25.0%	18

14. How frequently do you self-evaluate your performance against your		
At least once a month:	14.3%	18
At least every other month:	27.8%	35
Twice a year:	37.3%	47
Prior to my annual appraisal:	20.6%	26

Section 5: Head teacher appraisal at your school

15. Please indicate the extent to which you agree with the following		
15.a. The external adviser provides valuable input into the appraisal process.		
Strongly disagree:	3.8%	5
Disagree:	5.3%	7
Neither agree nor disagree:	4.6%	6
Agree:	26.7%	35
Strongly agree:	58.0%	76
Not applicable:	1.5%	2
15.b. The members of the governing body understand the process of appraisal.		
Strongly disagree:	3.1%	4
Disagree:	11.7%	15
Neither agree nor disagree:	12.5%	16
Agree:	39.8%	51
Strongly agree:	32.8%	42
15.c. The governing body as a whole rarely discusses my performance.		
Strongly disagree:	6.9%	9
Disagree:	20.0%	26
Neither agree nor disagree:	11.5%	15
Agree:	39.2%	51
Strongly agree:	21.5%	28
Not applicable:	0.8%	1

15.d. The appraisal committee challenges me about meeting objectives.		
Strongly disagree:	3.8%	5
Disagree:	9.2%	12
Neither agree nor disagree:	10.8%	14
Agree:	30.8%	40
Strongly agree:	43.1%	56
Not applicable:	2.3%	3
15.e. The chair of governors and I have frank discussions about my performance.		
Strongly disagree:	7.8%	10
Disagree:	17.8%	23
Neither agree nor disagree:	17.1%	22
Agree:	28.7%	37
Strongly agree:	28.7%	37
15.f. The process yields clear information about my areas of strength and development needs.		
Strongly disagree:	12.3%	16
Disagree:	16.9%	22
Neither agree nor disagree:	16.2%	21
Agree:	37.7%	49
Strongly agree:	16.9%	22
15.g. The process is closely related to the process of teacher performance appraisal at the school.		
Strongly disagree:	6.9%	9
Disagree:	16.0%	21
Neither agree nor disagree:	11.5%	15
Agree:	38.2%	50
Strongly agree:	27.5%	36
15.h. Our governing body has the expertise necessary to conduct my appraisal effectively.		
Strongly disagree:	11.5%	15
Disagree:	9.9%	13
Neither agree nor disagree:	17.6%	23
Agree:	31.3%	41
Strongly agree:	29.8%	39

15.i. The process yields clear information about areas of strength across the school and those in need of improvement.

Strongly disagree:	9.9%	13
Disagree:	9.9%	13
Neither agree nor disagree:	9.9%	13
Agree:	42.7%	56
Strongly agree:	27.5%	36

15.j. I use the results from my appraisal to further my professional development.

Strongly disagree:	6.2%	8
Disagree:	18.5%	24
Neither agree nor disagree:	16.2%	21
Agree:	36.9%	48
Strongly agree:	22.3%	29

15.k. My appraisal is closely linked with areas identified in the school improvement/development plan.

Strongly disagree:	2.3%	3
Disagree:	4.6%	6
Neither agree nor disagree:	4.6%	6
Agree:	32.3%	42
Strongly agree:	55.4%	72
Not applicable:	0.8%	1

15.l. Individuals on the appraisal committee have recently undertaken training about the process.

Strongly disagree:	15.3%	20
Disagree:	25.2%	33
Neither agree nor disagree:	16.8%	22
Agree:	26.7%	35
Strongly agree:	14.5%	19
Not applicable:	1.5%	2

15.m. My appraisal process is fit for purpose.		
Strongly disagree:	9.2%	12
Disagree:	16.9%	22
Neither agree nor disagree:	15.4%	20
Agree:	33.1%	43
Strongly agree:	25.4%	33

Section 6: Challenges of head teacher appraisal

16. Please list the three most challenging aspects of the process of your appraisal at your school.

17. How might you, the Chair of Governors or the Governing Body overcome the most challenging aspect?

18. What single change would make your appraisal process more effective?

Section 7: Training for you and the GB

19. Have any members of your governing body undertaken training for head teacher appraisal?		
Yes:	68.2%	88
No:	31.8%	41
19.a. If yes, how recently have they taken part in training for head teacher appraisal?		
This year:	19.0%	16
Within the last three years:	54.8%	46
More than three years ago:	26.2%	22

20. Have you undertaken training for head teacher appraisal?		
Yes:	43.8%	56
No:	56.2%	72

20.a. If yes, how recently have you taken part in head teacher appraisal training?		
This year:	14.5%	8
Within the last three years:	43.6%	24
More than three years ago:	41.8%	23

21. If you or other governors have received training, who provided the		
group of schools:	n/a	3
local authority:	n/a	78
National Governors' Association:	n/a	8
Not certain:	n/a	5
Other *(please specify)*:	n/a	12

22. What do you think have been the most useful topics covered in training, support and/or guidance
22.a. for you? -- Most useful topics
22.b. for your GB? -- Most useful topics
22.c. for you and the GB together? -- Most useful topics
23. Please list the top three topics for training and/or development that would be of greatest value to you and your GB.

Section 8: You and your school

24. Is your governing body responsible for governing …		
one school?:	92.2%	119
a multi-academy trust?:	1.6%	2
a federation?:	4.7%	6
Other *(please specify)*:	1.6%	2

25. Are you responsible for leading more than one school?		
Yes:	12.6%	16
No:	87.4%	111

25.a. If yes, how many schools do you oversee?		
2:	66.7%	8
3:	16.7%	2
4:	8.3%	1
5:	8.3%	1
6+:	0.0%	0

26. Length of service for you and your chair.		
26.a. How many years have you been in post? (If you are the head of more than one school, please answer for the school at which you have served longest.)		
1 year or less:	6.3%	8
2 to 5 years:	35.7%	45
6 to 10 years:	31.0%	39
10+ years:	27.0%	34
26.b. How many years has the Chair been in post?		
1 year or less:	20.5%	26
2 to 5 years:	43.3%	55
6 to 10 years:	21.3%	27
10+ years:	15.0%	19

27. What type of school best describes your school or group of schools?		
Academy:	n/a	30
Community:	n/a	66
Faith school:	n/a	26
Foundation:	n/a	10
Free:	n/a	0
Independent:	n/a	2
27.a. If you answered 'Academy' above, please indicate the type of academy.		
Pre-2010:	0.0%	0
Sponsored:	7.1%	2
Converter:	82.1%	23
Other *(please specify)*:	10.7%	3

28. What phase is your school? (If you are replying for a group of schools, please select the categories most representative of your group.)

Nursery:	n/a	9
Infant:	n/a	13
Junior:	n/a	7
Primary:	n/a	57
First:	n/a	4
Middle (deemed primary):	n/a	1
Middle (deemed secondary):	n/a	2
Upper:	n/a	0
Secondary:	n/a	38
College/Sixth Form:	n/a	5
All-through:	n/a	4
Special:	n/a	10

29. Please select your region (or regions, if a group).

North East:	n/a	5
North West:	n/a	20
Yorkshire:	n/a	6
East Midlands:	n/a	8
West Midlands:	n/a	8
East of England:	n/a	13
London:	n/a	21
South East:	n/a	27
South West:	n/a	20

Section 9: Further comments

30. If you have any other comments on your appraisal process please note these below.

Appendix C: Case Studies & Vignettes

C-1: Table of all case study sites

In-text Ref	Phase	Type	Ofsted	Region	%FSM	Stand-alone Case	Vignette
MAT-B	Mixed	MAT	Var	Midlands & Greater London	high	y	
MAT-A	Mixed	MAT	Var	Greater London & SE	high		I
S3	Secondary	Acad (2012)	RI	East of England	low		
P4	Primary	Acad (2013)	Out	North West	low	y	B
S5	Secondary	Acad (2011)	Good	North East	low	y	
Sp6	Special/All-through	Acad(2012)	Out	South West	unavb	y	
PFed7	Primary	Federation	Var	Greater London	high	y	
S8	Secondary	Acad (2012)	unavb	East of England	low		L
P9	Primary	Community	Out	South West	low		E
S10	Secondary +6	VA	RI	Greater London	high	y	F
S11	Secondary	Acad (2012)	Out	Greater London	high		G
P12	Primary	Community	Good	East of England	high	y	A
S13	Secondary +6	Acad	Good	East of England	low		D
S14	Secondary	Community	Out	Greater London	high		K
S15	Secondary +6	Acad (2012)	Out	South East	low	y	
Sp16	Special/All-through	Com/Special	Good	North West	avg		J
At17	All-through	Community	Good	Midlands	high		
P18	Primary	Acad (2012)	Out	Greater London	low	y	C
P19	Primary	VA	RI	South East	low	y	
P20	Primary	Community	Good	East of England	high		H

C-2: Outline of case study

Each case study provides an illustration of how headteacher performance management is carried out in particular settings. The reader needs to know why the case study has been included as an illustrative, exemplary case of a particular 'type' and what might be learned from considering this case as a whole. Points raised in the case need to be supported by quotes or anecdotes. To the extent possible, draw in historical references to help us understand why things are the way they are and/or how things have changed over time. The outline below will need to be adapted to the nature of the case described. Cases should be approximately 4-6 pages long.

Title: clear mention of 'type'.

Introduction: overview of setting, rationale for inclusion and overview of case study (one paragraph)

Background: Brief description of the setting , its context and HT's background**.** Governing body – experience, training, involvement with the setting, committee structure and operation. Appraisal panel and how determined, nature of relationships, external adviser and selection

Performance management cycle: Process of performance appraisal review, how this sits within larger context of performance management, e.g., arrangements for monitoring, use of results, link with pay, coherence across org; training and capacity of govs; evidence for efficacy

Challenges: 'pinch points'; how have these been addressed, if they have been addressed; why not been addressed, if not yet addressed

Highlights : what makes this a unique case; what might others learn from this case

C-3: Outline of vignettes

A vignette provides a brief (2-4 pages), grounded illustration of an important theme in our research. The shorter vignette is different from the longer case study because the latter foregrounds a range of relevant aspects of headteacher performance management within a particular organisational context (e.g., different governance structures, types of schools, school and community conditions) while a vignette foregrounds a particular theme and develops the theme briefly in the context of one of the case settings. With that in mind, a vignette begins with a brief introduction of the theme and then briefly sketches the context. It then moves on to elaborate the theme within the context, noting consistencies, variations and contrasts/conflicts around the theme within the context. The vignette then concludes with highlights, recasting in abbreviated form key features and points of learning.

Title—clear mention of theme

Introduction to theme, overview of setting (refer to stand-alone case if one exists) and overview of vignette (one paragraph)

School background

Current state of theme in this setting—consistencies, variations and contrasts/conflicts, challenges

Historical development of theme—why things are as they are; how have they come to be; challenges encountered and how overcome (if overcome)

Highlights – what are the key points (max 10, preferably a handful) in relation to theme? What can others learn from this vignette?

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