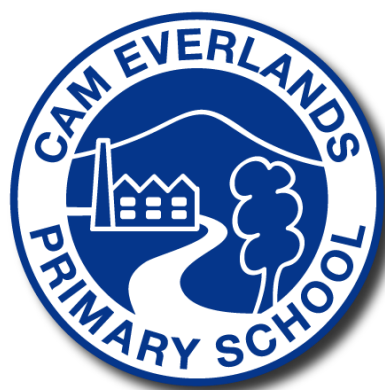


Staff Appraisal and Capability policy



Cam Everlands Primary School
“We believe, achieve and celebrate”

Approved by:	Full Governing Body	Date: September 2025
Last reviewed on:	September 2022	
Next review due by:	September 2028	

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1. Aims

Appraisal in this school will be a supportive and developmental process designed to ensure that all staff have the skills and support to carry out their roles effectively. It will help to ensure that all staff are able to continue to improve their professional development and practice.

The policy sets out the framework for a clear and consistent assessment of the overall performance of staff and how this will be measured against the expected standards and link to decisions about pay.

Objectives and development must be within the context of the school's plan for improving educational provision and performance.

When the appraisal process does not resolve concerns which arise about performance, it becomes necessary to manage improvement through the capability procedure.

This policy does not form part of any employee's contract of employment and is entirely non-contractual. It may be amended, withdrawn, suspended or departed from at the discretion of the school at any time.

This policy applies to staff members ('burgundy book') and support staff ('green book').

2. Legislation and guidance

The minimum national requirements for staff members' appraisal in maintained schools are set out in [The Education \(School Staff members' Appraisal\) \(England\) Regulations 2012](#).

This policy is based on the model policy produced by Gloucestershire County Council.

3. Definitions

In this policy, the term 'staff member' refers to classroom staff members, middle and senior leaders, and the Headteacher. The term 'support staff' refers to teaching assistants and administrative staff.

Where relevant, we have added further detail regarding arrangements for Headteachers.

3.1 Early career staff members (ECTs)

Early career staff members (ECTs) starting their induction on or after 1 September 2021 are not subject to annual appraisal and pay review cycles during their induction period, and are not covered by this policy.

Arrangements for ECT appraisal will follow our ECT induction policy, and the [statutory induction process for ECTs](#).

4. The appraisal period

Our appraisal period will run for a period of 12 months beginning on the first day of the autumn term. We will hold appraisals during the autumn term.

Staff members who are employed on a fixed-term contract of less than 1 year will have their performance managed in accordance with the principles underpinning this policy. The length of their appraisal period will be determined by the duration of their contract, and an individual staff member's objectives will take account of the length of their contract.

There is flexibility for a staff member to have a longer or shorter appraisal period when:

- They begin or end their employment during the appraisal period
- An unattached staff member changes post within the same local authority

Staff members should receive a written appraisal report as soon as practicable following the end of each appraisal period, by 31st October, and will have an opportunity to comment on it.

The Headteacher should receive a written appraisal report as soon as practicable following the end of each appraisal period, by 30th November and will have an opportunity to comment on it.

In addition to the annual appraisal cycle, line managers will:

Review and address staff members' performance on a regular basis in half-yearly meetings with the staff member

Maintain regular (termly) growth-focused check-ins to support ongoing professional development and wellbeing

5. Appointing appraisers

5.1 Headteacher appraisal

The governing board will conduct the Headteacher's appraisal meeting.

The governing board will typically delegate the Headteacher's appraisal to a sub-group of 2 or 3 governing board members with a wide range of experience and knowledge of the school. This will not include any staff governors.

To support Headteacher appraisal, the governing board will appoint an external adviser with relevant skills and experience. The adviser may be from the local authority or a neighbouring local authority, or be an external consultant.

5.2 Staff member appraisals

The Headteacher will decide who will appraise staff members. Unless there is a good reason not to, this will normally be the staff member's line manager. (For example, a 'good reason' could be a poor or deteriorating working relationship between the staff member and line manager, including where a formal grievance has been lodged by the staff member citing their line manager).

Appraisers appointed by the Headteacher will have qualified staff member status (QTS).

All appraisers will be provided with appropriate training.

5.3 Support Staff appraisals

Support staff appraisals will be carried out by the SENCo, their line manager. For support staff there will be a discussion regarding the role(s) in school. This may cover how the role has changed or may change. There will be:

- A review of the standard of work and whether or not it meets expectations
- Unless this is the first appraisal, a review of how well last year's objectives have been met
- If the role supports pupils' learning, a review of how well this is working
- Consideration of any training or development needs
- Discussions of wellbeing, workload and work-life balance of the employee
- Objectives for the coming appraisal period

6. Setting objectives

Staff members' objectives will be set before, or as soon as practicable after, the start of each appraisal period.

The staff member and appraiser will aim to agree on the objectives together, but if this is not possible, the appraiser will determine the objectives. The staff member can record their disagreement on the appraisal statement and this will be taken into account at the appraisal review.

The governing board will set the Headteacher's objectives in consultation with an external adviser.

At the start of each appraisal period, or as soon as practicable after, line managers will:

- Inform staff members of the standards that their performance will be assessed against (read more about the standards in section 7 below)
- Set out what evidence will be used when making judgements about a staff member's performance (read more about how we review evidence in section 8 below)

Objectives will:

- Reflect the role in school. Staff members who hold additional responsibility, for example, a Teaching and Learning responsibility (TLR), as SENCO, or on the Leadership pay range, (including the Headteacher), will have these duties and responsibilities included, and it could form the basis for one or more of the objectives.

- Contribute to school development plans, giving priority to activities that build staff member expertise and positively impact pupil outcomes. To make sure this happens, staff members will quality assure all objectives against our school development plan
- Be specific, measurable, achievable, realistic and time-bound (SMART)
- Be appropriate to the staff member's role and career experience
- Be proportionate and take into consideration the work-life balance of the staff member
- Have a strong focus on effective professional development to make sure the staff member stays up to date with the latest methodologies, technologies and educational research
- Numerical targets will not be set if it is beyond the staff member's control to achieve them. If they are set, they will be taken into consideration in conjunction with all other elements of the staff member's performance and professional development.

If a staff member's circumstances change, for example due to maternity or long-term or serious illness, we will revise their objectives to take into account any anticipated absence and allow the staff member to meet reduced and attainable targets.

7. Standards

We will assess staff members against the [Staff members' Standards](#). The Headteacher, and other school leaders where relevant, will also be assessed against the [Headteachers' Standards](#). For teaching assistants, assessment will be against the [Professional Standards for Teaching Assistants](#).

8. Reviewing performance (including lesson visit protocol)

Appraisers will set out what they will take into account when making judgements as to whether staff members have met their objectives and relevant standards.

Evidence used in the performance management process will:

- Directly relate to the objectives and be agreed upon in advance
- Be readily available from day-to-day practice

This might but does not have to include:

- Improvements in specific element of practice such as behaviour management, development of pedagogy or providing feedback
- Impact on effectiveness of staff members or other staff
- Wider contributions to the work of our school
- Active participation in professional learning and the positive impact on the staff member's practice
- Types of evidence we will consider, in conjunction with pupil outcomes, include:
 - Formal and informal lesson visits
 - Observations and results from wider school activities, if applicable
 - Reviews of planning and marking
 - Parent and pupil voice, if applicable
 - Quality of CPD courses completed
 - Peer observations

- Contributions to staff training or mentoring

8.1 Lesson visit protocol

We believe that observations of teaching and learning are an important way to monitor the impact of CPD. They can also help to identify how we can best support staff members, and identify areas of good practice that can be shared across the school.

There will be both formal and 'drop in' lesson visit. Staff members with responsibilities outside the classroom will also have these responsibilities observed.

All lesson visits will:

- Be carried out in an objective, fair, professional and supportive manner
- Be carried out by staff members with Qualified Staff member Status
- Be reported accurately and fairly
- Be reasonable and proportionate
- Be focused on development
- Be followed by constructive feedback
- Remain confidential to those who need to know details as part of their jobs

8.2 Drop-in lesson visits

Drop-in lesson visits will be informal visits to gauge CPD application and understand staff members' learning needs.

They will usually be conducted by a member (or members) of SLT. Subject leaders may carry out drop-in lesson visits when carrying out monitoring for their subject, but these will not form part of the staff member's appraisal process.

We will give at least 24 hours of notice of drop-in lesson visits.

Drop-in lesson visits will usually last around 20 minutes, and may involve the visitor talking to pupils and looking at their work.

The frequency will depend on the individual staff member and the school's needs at the time.

One of the visitors will provide verbal feedback on the day where possible or the following day if necessary.

We will use all reasonable endeavours to provide written feedback within 3 working days.

Please note that we also carry out drop-in lesson visits where fellow staff members observe a lesson for their own professional development. Notice may not be given and we will not use this as evidence as part of the appraisal process.

8.3 Formal lesson visits

The purpose of formal lesson visits is to assess a staff member's performance and progress against their objectives and the relevant standards.

We will take into account a staff member's workload and individual circumstances when determining the number of formal observations we carry out over the year. For example, staff members who have less experience or who have recently started at our school will receive more frequent formal observations than more experienced staff members to establish strengths and areas for growth and development.

Staff members will not receive more than 3 formal observations over the year.

We will carry out additional formal lesson visits only if:

- A staff member requests them
- There are concerns that a staff member's performance is not up to standard (this may be triggered by poorly behaved pupils, or any significant concerns arising from the evidence at the beginning of section 8)
- The staff member is subject to formal capability proceedings

Generally, staff members will receive verbal feedback the same or following day, highlighting areas of strength and areas that need further development.

We will use all reasonable endeavours to provide written feedback within 3 working days.

9. Annual assessment and appraisal meeting

The appraisal meeting is the end point of the annual appraisal process and will take place in the autumn term. In this meeting, the appraiser will:

- Review the relevant evidence
- Assess performance in the appraisal period against the relevant standards and objectives
- If necessary, discuss any difficulties the staff member may be facing in achieving objectives and put a plan in place to address this (see section 11 for more detail)

The appraiser and staff member will also:

- Have a reflective discussion about the staff member's CPD journey, progress, needs and career development/aspirations, and identify action that should be taken
- Discuss the staff member's workload, wellbeing, working hours and flexible working opportunities in a supportive manner

Appraisal meetings will take place within the staff member's normal working hours and will typically last for at least 1 hour. We therefore recommend scheduling appraisal meetings for an hour and a half.

10. Appraisal report

Staff members and support staff will receive a written report of their appraisal, completed by the person who conducted the appraisal. We will use all reasonable endeavours to complete reports within 5 days of appraisal meetings.

The report will include:

- Details of the staff member's objectives for the appraisal period in question
- An assessment of the staff member's performance of their role and responsibilities against their objectives and the relevant standards, including details of the staff member's strengths
- An assessment of the staff member's training and development needs, and identify any action that should be taken to address them
- Details of a discussion on wellbeing and workload and career progression/aspirations
- A recommendation on pay progression

There will be space in the report for the staff member's own comments.

A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next appraisal cycle. In some circumstances, an interim review meeting may be appropriate.

Staff members will sign the appraisal report to say they have seen it and agree with its content.

See Appendix 2 for our template appraisal report.

10.1 Appealing an appraisal outcome

If The first stage is to discuss with the appraiser the decisions about performance that have been made and to understand the evidence on which those decisions are based. If the employee can demonstrate that evidence used for the appraisal was inaccurate or incomplete, the employee should make this information available to the appraiser, who can review the assessment and decide whether or not they need to change the appraisal outcomes.

If the employee remains unhappy with the decision, they can write to the Headteacher (Chair of Governors in the case of the Headteacher) who will arrange for the situation to be reviewed.

If the employee is unhappy about a pay decision arising out of appraisal this can be dealt with through the pay appeal process as detailed in the pay policy.

11. Concerns about a staff member's performance

If during the appraisal period it becomes clear that a staff member is having difficulties, the school will provide the staff member with informal support. This process will be supportive and will give the staff member and their line manager the opportunity to talk openly and honestly about the staff member's difficulties and the support they need to improve and refine their skills.

Staff members will not be placed in capability procedures (see section 11.4) without first undergoing this period of informal support, except in the most serious cases of persistent failures to meet job expectations and teaching standards, resulting in negative consequences on our pupils and school.

11.1 Informal support

Informal support will begin with a meeting between the staff member and their appraiser to:

- Inform the staff member that they will be receiving informal support due to concerns about their performance
- Give clear and specific feedback to the staff member about the nature and seriousness of the concerns
- Give the staff member the opportunity to comment and discuss the concerns
- Set clear objectives and timescales for required improvement
- Agree any support (e.g. coaching, mentoring, structured observations), that the school will provide to help address those specific concerns and drive improvement
- Make clear how, and by when, the appraiser will review progress. Note that:
 - It may be appropriate to revise the staff member's objectives
 - It will be necessary to allow sufficient time for the staff member to improve their performance (see section 11.2 below)

During the meeting, the appraiser will also explain the implications and process if no, or insufficient, improvement is made – e.g. the commencement of capability procedures.

11.2 Duration of support

The school will provide informal support for a minimum of 6 weeks to allow for an improvement in the staff member's performance.

The school will decide on the duration support, taking into consideration the seriousness of the concerns, the staff member's specific circumstances, and the type of informal support provided.

The appraiser will meet the staff member regularly to assess progress and ensure the agreed support is being provided.

11.3 Review of progress

When informal support has been completed, the appraiser will meet the staff member to review progress. If the appraiser is satisfied that the staff member has made, or is making, sufficient improvement in their performance, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through the normal appraisal process.

11.4 Transition to capability procedures

If a staff member demonstrates serious underperformance or has not responded to the informal support process, we will notify the staff member in writing that:

- The appraisal system will no longer apply to them
- Their performance will be managed under the capability procedure – see Appendix 3
- They will be invited to a formal capability meeting

We will also seek specialist advice from our HR provider at this stage, as appropriate.

We may also trigger disciplinary procedures in cases of misconduct or breach of professional standards. These are 2 separate procedures but, if appropriate to the circumstances, they can run concurrently.

12. Capability Procedures

This procedure applies only to staff members and Headteachers where there is serious underperformance which the appraisal process has been unable to address. At least five working days' notice will be given of the formal capability meeting. The notification will contain sufficient information about the concerns about performance and their possible consequences to enable the staff member to prepare to answer the case at a formal capability meeting. It will also contain copies of any written evidence; the details of the time and place of the meeting; and will advise the staff member of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent. Staff members are entitled to request an alternative date which is within five days of the original date.

12.1 Formal capability meeting

This meeting is intended to establish the facts. It will be conducted by the Chair of Governors (for Headteacher capability meetings) or Headteacher (for other staff members). The meeting allows the staff member, accompanied by a companion if they wish, to respond to concerns about

their performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.

The person conducting the meeting may conclude that there are insufficient grounds for pursuing the capability issue and that it would be more appropriate to continue to address the remaining concerns through the appraisal process. In such cases, the capability procedure will come to an end. The person conducting the meeting may also adjourn the meeting for example if they decide that further investigation is needed, or that more time is needed in which to consider any additional information.

In other cases, the meeting will continue. During the meeting, or any other meeting which could lead to a formal warning being issued, the person conducting the meeting will:

identify the professional shortcomings, *for example which of the standards expected of staff members are not being met*;

give clear guidance on the improved standard of performance needed to ensure that the staff member can be removed from formal capability procedures (*this may include the setting of new objectives focused on the specific weaknesses that need to be addressed, any success criteria that might be appropriate and the evidence that will be used to assess whether or not the necessary improvement has been made*);

explain any support that will be available to help the staff member improve their performance;

set out the timetable for improvement and explain how performance will be monitored and reviewed. The timetable will depend on the circumstances of the individual case but in straightforward cases could be *(between four and ten weeks. It is for the school to determine the set period. It should be reasonable and proportionate, but not excessively long, and should provide sufficient opportunity for an improvement to take place)*; and

warn the staff member formally that failure to improve within the set period could lead to dismissal. In very serious cases, this warning could be a final written warning or other serious implications such as no pay progression.

Notes will be taken of formal meetings and a copy sent to the member of staff. Where a warning is issued, the staff member will be informed in writing of the matters covered in the bullet points above and given information about the timing and handling of the review stage and the procedure and time limits for appealing against the warning.

12.2 Monitoring and review period following a formal capability meeting

A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. The member of staff will be invited to a formal review meeting, unless they were issued with a final written warning, in which case they will be invited to a decision meeting (see below).

12.3 Formal review meeting

As with formal capability meetings, at least five working days' notice will be given and the notification will give details of the time and place of the meeting and will advise the staff member of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If the person conducting the meeting is satisfied that the staff member has made sufficient improvement, the capability procedure will cease and the appraisal process will re-start. In other cases:

- If some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
- If no, or insufficient improvement has been made during the monitoring and review period, the staff member will receive a final written warning.

As before, notes will be taken of formal meetings and a copy sent to the member of staff. The final written warning will mirror any previous warnings that have been issued. Where a final warning is issued, the member of staff will be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in dismissal and given information about the handling of the further monitoring and review period and the procedure and time limits for appealing against the final warning. The staff member will be invited to a decision meeting.

12.4 Decision meeting

As with formal capability meetings and formal review meetings, at least 5 working days' notice will be given and the notification will give details of the time and place of the meeting and will advise the staff member of their right to be accompanied by a companion who may be a colleague, a trade union official, or a trade union representative who has been certified by their union as being competent.

If an acceptable standard of performance has been achieved during the further monitoring and review period, the capability procedure will end and the appraisal process will re-start. If performance remains unsatisfactory, a decision, or recommendation to the governing body, will be made that the staff member should be dismissed or required to cease working at the school.¹

Before the decision to dismiss is made, the school will discuss the matter with the local authority.

The staff member will be informed as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and their right of appeal.

12.5 Decision to dismiss

The power to decide that members of staff should no longer work at this school has been delegated to one or more governors acting with the Headteacher.

12.6 Dismissal

Once the governing body has decided that the staff member should no longer work at the school, it will notify the local authority of its decision and the reasons for it. Where staff members work solely at this school, the local authority must dismiss them within fourteen days of the date of the notification. Where they work in more than one school, the local authority must require them to cease to work at this school

¹ *In Foundation Schools, Voluntary Aided Schools and Foundation Special Schools, the governing body is the employer but the power to dismiss can be delegated to the head teacher, to one or more governors, or to one or more governors acting with the head teacher. In Community, Voluntary Controlled, Community Special, and Maintained Nursery schools, the power to determine that the member of staff should no longer work at the school can be delegated in the same way as above but it is the local authority (as the employer) that actually dismisses staff (or – for those who work in more than one school – requires them to cease to work at the school).*

12.7 Appeal

If a staff member feels that a decision to dismiss them, or other action taken against them, is wrong or unjust, they may appeal in writing against the decision within five days of the decision, setting out at the same time the grounds for appeal. Appeals will be heard without unreasonable delay and, where possible, at an agreed time and place. The same arrangements for notification and right to be accompanied by a companion will apply as with formal capability and review meetings and, as with other formal meetings, notes will be taken and a copy sent to the staff member.

The appeal will be dealt with impartially and, wherever possible, by governors who have not previously been involved in the case.

The staff member will be informed in writing of the results of the appeal hearing as soon as possible.

13. Confidentiality

The appraisal process and relevant documents are strictly confidential. Only staff members who need the information in order to do their jobs will have access to the information.

Appraisal information will be anonymised when information is reported to the governing board.

Appraisal records will be kept securely in the staff member's personnel file.

14. Monitoring arrangements

The governing board will monitor and review the effectiveness of the appraisal arrangements. The Headteacher will monitor objectives and assessments to ensure consistency.

This policy will be reviewed every 3 years by the Headteacher.

The Governing Body will be responsible for approving this policy.

15. Links with other policies

- ECT Policy
- Pay Policy

Appendix 1: appraisal timeline

DATE	ACTION
First day of autumn term	Appraisal cycle begins
September / October	Appraisal meeting held to review the previous appraisal period
	Appraisal process is completed for the Headteacher, deadline for appraisal report to be sent
31 October	Appraisal process is completed for staff members, deadline for appraisal reports to be sent
Summer term	Meetings held to review progress
Throughout the year	Formal and drop-in lesson visit and monitoring take place, constructive feedback is provided

Appendix 2: appraisal report template

Staff member Annual Appraisal

Name			
Role			
Subject Responsibility		Date of meeting	
Line Manager			

Part 1 - Review

REVIEW OF SCHOOL YEAR:					
ASSESSMENT AGAINST OBJECTIVES:					
Objective 1:					
Fully achieved	✓	Partly achieved		Not achieved	
Comments:					
Objective 2:					
Fully achieved	✓	Partly achieved		Not achieved	
Comments:					
Objective 3:					
Fully achieved	✓	Partly achieved		Not achieved	
Comments:					

ASSESSMENT AGAINST STANDARDS

Staff members' Standards:

A staff member must:

1. Set high expectations which inspire, motivate and challenge pupils
2. Promote good progress and outcomes by pupils
3. Demonstrate good subject and curriculum knowledge
4. Plan and teach well-structured lessons
5. Adapt teaching to respond to the strengths and needs of all pupils
6. Make accurate and productive use of assessment
7. Manage behaviour effectively to ensure a good and safe learning environment
8. Fulfil wider professional responsibilities

Comments:

RECOMMENDATION FOR PAY PROGRESSION (WHERE APPLICABLE)

Is pay progression being recommended?

(Recommendations are subject to Headteacher approval)

If so, what is the recommended new salary?

Reasons:

Reviewer signature:
Reviewee signature:

Part 2 - Target Setting

TARGETS FOR THE SCHOOL YEAR:	
OBJECTIVES	
Objective 1:	
Success criteria: •	Evidence: •
Objective 2:	
Success criteria: •	Evidence: •
Objective 3:	
Success criteria:	Evidence:

TRAINING AND DEVELOPMENT REQUIREMENTS
Focus:

Action:
Support:

COMMENTS
Reviewee:
Signature
Reviewer:
Signature:
Date:

DATE OF NEXT MEETING:	
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