



Appraisal and Capability Policy

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“Learning together, to be the best we can be”

1. Context

1.1.

3.2. There is a clear link between the operation of the appraisal policy and the pay policy.

4. Application of the policy.

4.1. The policy is in two separate sections.

4.1.1. **Part A** of the policy, covers appraisal, and applies to all those employed by the Trust either centrally or within one of its constituent academies, except those on contracts of less than one term and those who are subject to Part B of the policy.

4.1.2. **Part B** of the policy, sets out the formal capability procedure for those whose performance there are serious concerns that the appr (p)7 7 (f)2.1 Td-7 (mer)4

progress made towards pupil action plan targets and pupil wellbeing and involvement.

- 8.4. Teachers (including Headteachers) and support staff who have responsibilities outside the classroom should also expect to have their performance of those responsibilities assessed.

9. Development and Support

- 9.1. Appraisal is a supportive process which will be used to inform continuing professional development. The Trust wishes to establish and maintain a culture in which all employees take responsibility for improving the teaching and learning of children through appropriate professional development for staff.
- 9.2. Professional development will be linked to academy improvement priorities and to the ongoing professional development needs and priorities of individual employees.

10. Feedback and reflection

- 10.1. All employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need development. Where there are concerns about any aspects of the employee's performance the appraiser will meet them formally to:
- give clear feedback to the employee about the nature and seriousness of the concerns;
 - give the employee the opportunity to comment and discuss the concerns;
 - agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns;
 - make clear how, and by when, the appraiser will review progress (*it may be appropriate to revise objectives at this stage, and it will be necessary to allow sufficient time for improvement. The amount of*

time is up to the school but should reflect the seriousness of the concerns);

- explain the implications and process if no or insufficient improvement is made.

10.2. The employee and appraiser will agree a Support Plan which includes the above points. When progress is reviewed, if the appraiser is satisfied that the employee has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.

11. Transition to capability

11.1. If the appraiser is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a Stage 1 formal capability meeting. The capability procedures will be conducted as in part B of this policy.

12. Annual assessment

12.1. Each employee's performance will be formally assessed in respect of each appraisal period.

12.2. This assessment is the end point to the annual appraisal process, but

- a recommendation on pay (where that is relevant);
- an indication of the employee's career aspirations.

12.4. Teachers who are paid on the Main Pay Range (MPR) will secure a one point increment on the pay spine each year as a result of meeting both Part A (appraisal targets) and Part B (overall performance) of the appraisal process, including verification and evidence that they have fulfilled their job description and met the requirement of any additional responsibilities; and have met the relevant standards at a level appropriate to their career stage. Teachers who have made exceptional progress or significantly exceeded targets in Part A and Part B may receive enhanced pay

12.4.

- 14.1. To ensure there is a “no surprises” culture within the Trust, there will be an informal element to the capability procedure to ensure there has been opportunity for the employee to improve their performance via a support plan. This should form part of the usual appraisal process.
- 14.2. The first steps in attempting to improve performance are to identify the reasons or causes of the problem and consider any positive support that can be provided.
- 14.3. Informal measures of providing additional management support can be beneficial in addressing concerns about an employee’s performance; therefore, this option should be explored before moving to Formal Measures.
- 14.4. It is for the appraisee (in conjunction with the line manager, where one aren’t the same) to determine the time period for agreed actions. It should be reasonable and proportionate, but not excessively long, and should provide sufficient opportunity for an improvement to take place. No more than a 12 months’ appraisal cycle should be used, though this may naturally be less if issues are identified at the mid-year review point.
- 14.5. Additional management support could include offering the facility to observe good practice; receive advice from an experienced colleague or line manager; having a mentor or access to appropriate training or resources.
- 14.6. The employee may be able to suggest other methods of support they feel would assist them. This list should not be seen as exhaustive or a requirement but gives an indication of the types of support a manager may consider providing.
- 14.7. If there is no time or space at a review meeting, or concerns about the employee’s performance are raised, the manager should discuss the concerns with the employee and agree a support plan. This should be done in a timely manner and should be a priority for the manager. The support plan should be agreed and signed by both the manager and the employee. The support plan should be reviewed at the next review meeting. The support plan should be a living document and should be updated as needed. The support plan should be a key part of the employee’s development and should be used to track progress and identify areas for improvement. The support plan should be a key part of the employee’s development and should be used to track progress and identify areas for improvement.

14.9.

- 14.15. Where it has not been possible to eliminate concerns about an employee's performance by informal means, or improvement has not been sustained, Formal Measures may be taken.
- 14.16. The decision to move on from informal measures sits with the CEO (for direct reportees and central Trust staff) or the Headteacher (for staff employed in their school/academy). It is recommended that advice be sought from the Trust's HR Team before moving to the Formal Stage.

15. Formal capability procedures

- 15.1. 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 employee to prepare to answer the case at a formal capability meeting. It will also contain copies of any written evidence including the outcome of the informal stage; the details of the time and place of the meeting; and will advise the employee of their right to be accompanied by a colleague or a trade union representative.
- 15.2. The **first formal meeting** is intended to establish the facts. It will usually be chaired by the line manager (for the Headteachers capability meeting or other central Trust staff) or by the Headteacher for other academy employees. The meeting allows the employee to respond to concerns about their performance and to make any relevantpereerthe21enn-hehehe6

- identify the professional shortcomings, for example which of the standards expected of the employee are not being met;
- give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures (*this may include the setting of new objectives focused on the specific area of development that needs 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 employee 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 is usually between four and six weeks. (*It is for the academy to determine the set period however, it should be reasonable and*

17. Formal review meeting

- 17.1. As with formal capability meetings, at least five working days' notice will be given. Notification will give details of the time and place of the meeting and will advise the employee of their right to be accompanied

- 18.3. If performance remains unsatisfactory, a recommendation to the CEO will be made that the employee should be dismissed or required to cease working at the academy.
- 18.4. Before the decision to dismiss is made, the Headteacher should discuss the issue with the CEO of the Trust.
- 18.5. The employee will be informed as soon as possible of the reasons for the dismissal, the date on which the sslen ded to5 adtowitl bda the

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- 26.1. Where an employee raises a grievance during the capability procedure, the capability procedure may be temporarily suspended in order to deal with the grievance. Where the grievance and capability cases are related, it may be appropriate to deal with both issues concurrently.

27. Sickness absence

- 27.1. If long term sickness absence appears to have been triggered by the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the Trust's absence policy and will be referred immediately to the occupational health service to assess the employee's health and fitness for continued employment and the appropriateness, or otherwise, of continuing with monitoring or formal procedures. In some cases, it may be appropriate for monitoring and/or formal procedures to continue during a period of sickness absence.