

SPARKLE MULTI-ACADEMY TRUST



ORCHARDS INFANT & JUNIORSCHOOL

POLICY FOR APPRAISAL

Introduction



Under statutory regulations, appraisal arrangements for all teachers in maintained schools in England were changed from 1 September 2013.

[The Education \(School Teachers' Appraisal\) \(England\) Regulations 2012](#), made under the Education Act 2002, came into force on 1 September 2012 and replaced The Education (School Teacher Performance Management) (England) Regulations 2006.

The 2012 regulations apply to any teacher employed for one school term or more in a community, voluntary, foundation, community special or foundation special school, or a maintained nursery school; and whether employed by the governing body of that school or by the local authority to work in that school.

The regulations place a legal obligation on qualifying schools to have an appraisal procedure in place for all teachers and a capability procedure in place for all staff.

The regulations don't apply to a teacher that is undergoing an induction period or the subject of a formal capability procedure.

Support staff aren't covered by the regulations, but it would be both prudent and practicable for the governing body to agree and the head teacher to implement the same or a broadly similar staff appraisal policy for non-teaching staff.

Guiding principles

In its oversight of the appraisal system, the governing body is committed to ensure consistency of treatment and fairness and to stay within the prevailing legal framework applicable to all employers; for example, the Equality Act 2010, the Employment Rights Act 1996, the Part-Time Workers Regulations 2000, the Fixed-Term Employees Regulations 2002 and the Data Protection Act 1998.

The head teacher will moderate a sample of the planning statements (more on those later) to check the agreed plans are consistently weighted between employees who have similar levels of responsibility and comply with the school's appraisal policy.

The appraisal process and the supporting documentation will be treated with strict confidentiality at all times. We will only grant those who need access to such information to carry out their responsibilities as directed by the school. The governing body will monitor the operation of the appraisal system and review it at appropriate intervals.

Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers and support staff and for supporting their development needs in the context of the school's improvement plan.

The appraisal

The governing body of a school must appraise the performance of a head teacher. In turn, the head teacher of a school is responsible for ensuring the review of the performance of every other school leader, teacher and member of support staff employed at the school.

Appraisal meetings should be held during normal working hours and scheduled for at least one hour or longer if necessary.

The purpose of the appraisal meeting is to review the employee's current job, performance and plans. More specifically, the meeting will also be an opportunity to discuss how the employee can contribute to the wider work of the school, and agree and set a number (typically three) of objectives (there's no minimum or maximum number of objectives). Mid-year reviews, while not mandatory, are highly recommended as a means to ensure progress is being made and obstacles are being dealt with effectively.

The appraisal period

The appraisal period will be for 12 months, and it will begin on 1 September; the appraisal itself should ideally be completed by 31 October for teachers, support staff and middle leaders and by 31 December for head teachers. The cycle will begin with a planning meeting and end with a review meeting. Mid-year review meetings may also be held if agreed and considered necessary.

Where a teacher starts their employment or transfers to a new post in the school part way through a performance management cycle, the head teacher (or in the case where the employee is the head teacher, the governing body) shall determine appraisal arrangements for the remainder of the appraisal period. They will do this with a view to bringing their appraisal arrangements into line with the cycle for other school leaders, teachers and support staff as soon as possible.

Where a school leader or teacher is employed on a fixed-term contract for less than 12 months, the length of the appraisal period will be determined by the duration of the contract.

The appraisers

All appraisers, including allocated members of the governing body, should be provided with appropriate training.

For the head teacher

The governing body is the appraiser for the head teacher, and it will (typically) appoint three governors to discharge this particular responsibility. Head teachers can raise an objection to the chair of governors, in writing, and with good reason, outlining why an appointed governor should be excluded from the appraisal process.

The governing body of a school must appoint an external adviser to provide it with advice and support in relation to the appraisal of the head teacher. The qualifications and experience required of an external adviser aren't set by regulation. It's for the governing body to decide who it wishes to use as an external adviser, ideally with the agreement of the head teacher.

The external adviser isn't responsible for determining a recommendation to the pay committee on whether an increment should be paid to the head teacher following the review; this is a matter for the governor's panel alone. However, governors can ask for advice and should take account of any advice offered.

For all other employees

The head teacher is responsible for the appraisal of all other employees, but they may delegate this responsibility to others who will normally have line management responsibility for those they appraise.

Teaching staff should be able to object to the appointment of an appraiser, on professional grounds, in writing to the head teacher, who will consider the objection and make a decision. Where the objections are rejected by the head teacher, the teacher should be advised in writing.

Objective setting

The setting and agreement of objectives are fundamentally important to the effective operation of a performance management system that aims to link individual performance to pay progression. The job description can be a particularly useful place to begin the process of identifying relevant objectives for each individual job holder. However, the job description is just one 'reference document' that can bring helpful context to the process of setting and agreeing on objectives. Other useful 'reference documents' may include the school's improvement plan, the school's business plan, Ofsted's school inspection report or the Teachers' Standards.

In addition, it may be prudent to allow for some flexibility in the setting and agreement of objectives to enable them to be set and agreed around issues that are emerging for the school and require some dedicated attention that's best articulated as one or as a set of objectives. Because emerging issues are unlikely to be known at the outset of an appraisal period, objectives may need to be adjusted throughout the appraisal period so that they remain relevant to the performance of the individual and the priorities of the school. This is perfectly standard practice and strengthens the case for having mid-year reviews where objectives can be discussed and adjusted; the ideal outcome for all parties is that the overall weight of objectives is broadly or proportionately the same at the conclusion of any subsequent 'objectives' discussion.

Objectives should also be fair and equitable when judged across employees with similar roles and responsibilities. However, appraisal objectives will normally become more challenging as a teacher progresses up the main pay scale.

The governing body of a school must before, or as soon as practicable after, the start of each appraisal period, in relation to a head teacher, inform the head teacher of the standards against which their performance will be assessed and set objectives for the head teacher for the appraisal period.

The head teacher of a school must before, or as soon as practicable after, the start of each appraisal period, in relation to every teacher employed at that school, inform the teacher of the standards against which their performance will be assessed and set objectives for the teacher for the appraisal period. Head teachers may delegate this responsibility to the employee's line manager.

The objectives must be set such that they will contribute to the improvement of a school's educational provision and performance; appraisers will, therefore, be expected to align individual's objectives with the school's priorities.

Every effort should be made to achieve agreement on the head teacher's objectives; only as a last resort should targets be imposed on the head teacher. Similarly, all appraisers and appraisees should look to agree on objectives; where an agreement can't be reached, the appraiser will make the final determination.

Objectives should focus on the priorities for the school or individual for the duration of the appraisal cycle. Normally, staff should expect to have no more than (typically) three objectives, but there's no actual minimum or maximum number.

Objectives will be set out in a planning statement along with details of any agreed training and support. The planning statement should also specify the evidence that will be collected to support the review of performance, including details of the arrangements for task or classroom observation, where relevant.

Objectives may be revised if circumstances change.

Teachers' Standards

From the appraisal arrangements that took effect from 1 September 2013, the performance of all teachers, regardless of their career stage, will be assessed against the [Teachers' Standards](#). The standards define the minimum level of practice expected of trainees and teachers from the point of being awarded QTS.

The standards against which performance must be assessed in respect of a teacher are the set of standards articulated in the Teachers' Standards document and any other set of standards relating to teachers' performance published by the secretary of state as the governing body or head teacher determine as being applicable.

To meet the Teachers' Standards, a teacher will need to demonstrate their practice is consistent with the definitions set out in part one (teaching) and part two (personal and professional conduct).

Applying the Teachers' Standards

Teachers make pupils' education their first concern, and they are accountable for achieving the highest possible standards in their work and conduct. Teachers act with honesty and integrity, have strong subject knowledge and are self-critical. They forge positive professional relationships with those around them and work with parents and carers in the best interests of their pupils.

Teachers

The Teachers' Standards effectively set out a 'code' of good teaching practice and professional conduct, and as such, it would seem to be perfectly reasonable for schools to expect all teaching staff to meet the expectations set out in the standards document. Teachers should, therefore, be evaluated against all the elements set out in the Teachers' Standards, and it is for schools to put appropriate arrangements in place to achieve a fair and equitable process of evaluation.

Head teachers

Teachers' Standards must also be applied to head teachers and school leaders as well as to all other teachers. However, because only a proportion of head teachers and school leaders spend part of their scheduled week teaching, governing bodies should exercise particularly careful judgement when assessing such staff against the Teachers' Standards. Support from the external adviser will be important in this respect.

After an 11-years' absence, the [National Standards of Excellence for Head Teachers](#) were reintroduced in January 2015. Unlike the teachers' standards, the standards for head teachers are non-mandatory. These standards are intended to inform the appraisal of head teachers.

Use of the standards in academies and free schools will depend on the arrangements of those schools. Independent schools aren't required to use the standards, but they can do so if they wish.

Gathering the evidence

As part of the overall appraisal process, it's critically important for all members of staff who are subject to the school's staff appraisal policy to understand the evidence required to enable the appraiser to assess their performance and make a substantiated and evidence-based pay recommendation to the 'decision maker'.

Judgements relating to performance should be supported by evidence and agreed at the beginning of the performance cycle. Evidence should show and demonstrate a contribution towards the following:

- A positive impact on pupils' progress
- A positive impact on wider outcomes for pupils
- Improvement in specific elements of practice, eg lesson planning
- A positive contribution to the work at the school.

The evidence gathered by the school and the member of staff will largely be determined by the nature and scope of the agreed objectives and/or the Teachers' Standards. Examples of evidence may include the following:

- Classroom observations
- Task observations
- Reviews of assessment results
- Reviews of lesson planning records
- Internal tracking
- School improvement and departmental/faculty plans
- Moderation in and across schools
- Pupils' voice
- Parents' voice
- Head teachers' walkabouts
- Evidence supporting progress against the Teachers' Standards.

Any classroom or task observations will be carried out in accordance with the school's classroom and task observation protocol. Classroom observation will be carried out by qualified teachers. Verbal feedback will be provided by the end of the next school day in a suitable private environment. Written feedback will be provided within five working days.

For appraisal purposes, the governing body is committed to ensuring that classroom and task observation is developmental and supportive and that those involved in the process will do the following:

- Carry out the role with professionalism, integrity and courtesy
- Evaluate objectively
- Report accurately and fairly
- Respect the confidentiality of the information gained.

The arrangements for classroom/task observation will be stated in the appraisal planning statement. They will also include the amount of observation, specify its primary purpose, any particular aspects of the employee's performance that will be assessed, the duration of the observation, when during the appraisal cycle the observation is likely to take place and who is likely to conduct the observation.

Where evidence emerges about the appraisee's performance that gives rise to concern, additional observations may be arranged during the cycle.

A head teacher must evaluate the standards of teaching and learning, and ensure proper standards of professional performance are established and maintained throughout the school. They may, therefore, determine that it's necessary to collect additional evidence to help inform the evaluation of teaching standards and school improvement strategies. This additional evidence may include learning walks, task observation, reviews of assessment results and lesson planning records. It may not be practicable to provide notice of these additional monitoring activities.

Reviewing performance and the annual assessment

At the end of the cycle, assessment of performance will be on the basis agreed at the beginning of the cycle.

In determining an appraisal, the governing body or head teacher must assess the performance in the appraisal period, apply the relevant standards, assess performance against the agreed objectives, assess the professional development needs, identify any action that should be taken and, finally, include a recommendation relating to pay.

It will be for individual schools to establish their arrangements for determining the overall evaluation and rating of the individual's performance. Many schools may wish to continue to use their existing arrangements for evaluating and rating an individual's performance and apply the Teachers' Standards where appropriate.

A written appraisal report must be provided at the end of the appraisal process – ideally by 31 October for middle leaders, teachers and support staff, and ideally by 31 December for head teachers; the report must record the overall performance assessment and pay recommendation.

Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, may still be assessed favourably. If an agreement can't be reached, especially on the outcomes of an appraisal meeting, the teacher may appeal to the head teacher (or the head teacher may appeal to the chair of the governing body) whose decisions will be final.

The overall assessment of performance and its subsequent performance rating for individual members of staff will be subject to a process of moderation, arrangements for which will be put in place by the head teacher with the approval of the governing body.

The governing body and head teacher will ensure all written appraisal records are retained in a secure place for six years and then destroyed.

Continuing professional development

The school's CPD programme will be informed by the training and development needs identified through the appraisal procedure. The governing body will ensure in the budget planning that, as far as possible, appropriate resources will be made available for any agreed training, support or CPD.

Support to meet an individual or collective's development needs should be provided in the context of the school's improvement plan.

Conflict of interest

In any circumstances where an individual believes their participation in any part of the appraisal process amounts (or may amount) to a 'conflict of interest', they should declare this to their appraiser and/or absent themselves from any part of the appraisal process where they believe a 'conflict of interest' would or is likely to prevail.

Pay progression linked to performance

The governing body must consider, annually, whether or not to increase the salary of teachers who have completed a year of continuous employment since the previous annual pay determination, and if so, to what salary in the relevant pay ranges.

All pay recommendations should be clearly attributable to the performance of an employee.

The relevant body must decide how pay progression will be determined, subject to the following:

- a. The decision, whether or not to award pay progression, must be related to a teacher's performance
- b. A pay recommendation must be made in writing as part of a teacher's annual appraisal report
- c. Continued good performance, as defined by a school's pay policy, should give a classroom or an unqualified teacher an expectation of progression to the top of their respective pay ranges
- d. A decision may be made not to award pay progression; this is regardless of whether or not the teacher is subject to capability proceedings.

The relevant body must set out clearly in the school's pay policy how pay progression will be determined. The head teacher will be responsible for ensuring appropriate arrangements are put in place to support the links between performance and pay and agreed rates of pay progression are affordable and comply with prevailing legislation (eg equal pay).

Where teachers are eligible for pay progression, the recommendation made by the appraiser will be based on an assessment of performance against agreed performance objectives. The decision made by the relevant decision-making body will be based on the statutory criteria and guidance set out in the School Teachers' Pay and Conditions Document (STPCD) and the relevant Teachers' Standards.

To move up the main pay range, one point at a time, teachers will need to have made good progress towards achieving their objectives and demonstrated they are competent in all elements of the Teachers' Standards. Teaching should be consistently 'good', as defined by Ofsted (however, this doesn't necessarily mean every lesson observed needs to be rated as 'good').

The head teacher will consult with staff and union representatives on the establishment of appraisal and pay policies, and they will also ensure appraisers have the knowledge and skills to apply procedures fairly.

Teachers will work with their appraisers to ensure there's sufficient evidence to support pay recommendations. Teachers will also keep records of objectives and review them throughout the appraisal period.

Applications to be paid on the upper pay range

From 1 September 2013, any qualified teacher can apply to be paid on the upper pay range. All applications should include the results of two appraisal cycles; where such information isn't available, a written statement and summary of evidence that sets out how the applicant has met the assessment criteria will be sufficient. Teachers who have been absent through sickness, disability or maternity may cite written evidence from previous years in support of their application.

To be assessed successfully, a teacher will be required to meet the criteria set out in the STPCD:

- The teacher is 'highly competent' in all the elements of the Teachers' Standards
- The teacher's achievements and contribution to the school are 'substantial' and 'sustained'.

Highly competent

The teacher's performance is assessed as having excellent depth and breadth of knowledge, skills and understanding of the Teachers' Standards in the particular role they are fulfilling and the context in which they are working.

Substantial

The teacher's achievements and contribution to the school are significant, not just in raising standards of teaching and learning in their classroom but also in making a significant wider contribution to school improvement, which impacts on pupils' progress and the effectiveness of staff and colleagues.

Sustained

The teacher must have had two consecutive successful appraisal reports and made good progress towards their objectives; they will have been expected to have shown their teaching expertise has grown over the relevant period and is consistently good to outstanding.

Staff, especially teachers, experiencing difficulties

When a member of staff is experiencing difficulties, support and guidance will be provided through the appraisal process. Where it's clear that a member of staff's personal circumstances are leading to difficulties at work, appropriate support should be offered at the earliest opportunity.

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 school's absence policy. It will also be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and whether either continuing with informal monitoring or formal procedures is deemed to be appropriate.

If the appraiser identifies through the appraisal process or other sources of information (eg parental complaints) that the difficulties experienced by a teacher could lead to the capability procedure, the appraiser will, as part of the appraisal process, meet the member of staff to do the following:

- Give clear written feedback to the teacher about the nature and seriousness of the concerns
- Give the teacher the opportunity to comment on and discuss the concerns
- Give the teacher at least five working days' notice that a meeting will be held to discuss targets for improvement (alongside a programme of support) and remind them that they have the right to be accompanied by a work colleague or trade union representative at any future meetings where capability will be discussed
- Agree and establish, in consultation with the teacher, an action plan with the support that will help to remedy specific concerns
- Make clear how progress will be monitored and when it will be reviewed
- Explain the implications and process if no (or insufficient) improvement is made.

The teacher's progress will continue to be monitored as part of the appraisal process and a reasonable time given for the teacher's performance to improve. During this monitoring period, the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate.

If sufficient progress is made, the teacher should be informed of this at a formal meeting, and the appraisal process will continue as normal.

If no (or insufficient) improvement has been made, the teacher will be invited to a 'transition meeting' to determine whether formal capability proceedings will be invoked.

As a final check and balance to invoking the capability procedure, it's advised that line managers ensure the following have been put in place:

- The employee has undergone an appropriate period of induction to their role
- An up-to-date job description has been issued to the employee
- Professional standards and overall expectations of performance have been made clear
- The employee's performance has been monitored and feedback has been provided.

Transition to capability

Performance concerns should be dealt with through the staff appraisal policy, but if progress towards addressing performance concerns is insufficient or the concerns are sufficiently serious, a 'transition meeting' should be held; the expectation is that this meeting will reduce the likelihood of invoking the capability procedure or triggering a prolonged period of sickness absence. In this event, further support should be granted through the appraisal procedure.

A meeting of this nature doesn't amount to part of the formal capability procedure.

The employee, their line manager and the head teacher (or chair of governors where the capability of the head teacher is in question) will be present at the meeting. Because the outcome of the meeting may have serious consequences, the employee should be encouraged to be accompanied by a work colleague or trade union representative.

Guiding principles to the overall approach to the meeting:

- Ensure practical support, advice and guidance is provided to the employee
- Training should be provided where this is a reasonable expectation
- Performance criteria should be clear and monitored in agreed time schedules
- The employee's shortcomings are clearly set out in writing.

The meeting will consider the following matters:

- The evidence that has given rise to the specific concerns about the employee's performance
- The seriousness of the concerns and their impact on the performance of the school
- The support that has been provided to date
- The time for which the concerns have persisted
- The degree of improvement that has been achieved and whether or not this has been sustained
- The extent to which the employee has shown insight and has engaged with the support provided throughout the appraisal process
- Any mitigating factors.

Once these matters have been considered, the chair should close the meeting and reflect on the findings, take advice and reach a decision. The employee will be informed of the decision in writing and normally in five working days. The decision will be either to continue with the appraisal process or to invoke the capability procedure by convening a formal capability meeting.

The transition to the capability procedure won't normally be made unless there's evidence of the following:

- Underperformance against agreed objectives and/or standards has prevailed for some time
- The underperformance is either serious or has persisted despite the provision of support.

Capability procedure

The principal purpose of a capability procedure is to support and ensure staff can perform their duties, and deal with underperformance on a formal basis. The aim is to deal with those cases where, despite appropriate management support (normally provided through the appraisal process), a member of staff is deficient in key areas of ability, skill, competence or knowledge; and consequently unable to carry out their required duties to an acceptable standard.

It's important that underperformance is managed to ensure the quality of teaching and learning is unaffected and the overall performance of the school isn't compromised. The overall approach to capability should be supportive, constructive and helpful to the employee.

This procedure complies with the provisions of the ACAS code of practice.

The capability procedure applies only to teachers and head teachers where there are serious concerns about their performance that can't be addressed by the appraisal procedure. The purpose of a capability meeting is to establish the facts, and it will usually be chaired by either the chair of governors or head teacher. The employee, subject of the capability meeting, will be able to respond to concerns about their performance and present any relevant evidence.

Employees should be made aware that while they are and remain the subject of the capability procedure, the normal appraisal arrangements will be suspended. Employees are expected to cooperate constructively with arrangements that are put in place to address underperformance. Where an employee believes they are being unfairly treated, they may raise an informal complaint or a formal grievance as appropriate.

As is the case in all formal procedures, the chair of each meeting should ensure clear written records are kept, in particular, the management concerns about the employee's performance.

Timescales

Under the procedure, timescales may be adjusted as appropriate:

- This model procedure proposes a period of between four and 10 weeks for the implementation of the 'informal stage', where a member of staff is typically supported by a support plan or what may also be known as an action plan. The agreed period may be adjusted to suit the merits and circumstances in each individual case (for example, you would expect an experienced teacher or other member of staff to make improvements in a shorter period whereas you may wish to grant a longer period of time to an employee at early career stage)
- In particularly serious cases where the education, health or well-being of pupils may be at risk, a shorter period for monitoring is, in all likelihood, going to be more appropriate (eg where a teacher's control of the class is poor, or where pupil progress is inadequate despite support)
- If the implementation of the capability procedure triggers an episode of sickness absence, the case should be immediately referred to the school's occupational health service. They will then assess the employee's health and fitness for continued employment. The length of time a school should wait for an employee's health to improve before considering whether to terminate the employment on health grounds should be subject to ongoing occupational health guidance.

Formal capability meeting

The first meeting under the capability procedure, often referred to as the formal interview, initiates the capability procedure. At least five working days' notice will be given of the formal capability meeting. The notification will contain sufficient information about performance concerns and the possible consequences to enable the teacher to prepare to present their case at the meeting. The notification of a capability meeting will be accompanied by copies of written evidence, include details of the date and time of the meeting, and confirm the teacher's entitlement to be accompanied by a companion who may be a work colleague or trade union representative.

The chair of the capability meeting will aim to do the following:

- a) Identify the teacher's professional shortcomings
- b) Give clear guidance on the improved standard of performance needed

- c) Explain any support that will be available to help the teacher improve to a point where they can be removed from the capability procedure
- d) Set out the timetable for improvement and explain how performance will be monitored and reviewed
- e) Warn the teacher formally that failure to improve in the set period could lead to dismissal (in very serious cases, the warning could be a final written warning).

Notes will be taken of the formal meeting, and a copy will be sent to the member of staff.

There are three possible outcomes from the formal capability meeting:

- 1. A return to the appraisal process where it's determined that there is insufficient evidence to progress the matter further in the capability procedure
- 2. A first written warning
- 3. A final written warning.

Options two and three are relevant to any case where continued concern about the standards of performance is justified. The level of warning should be determined by the seriousness of the concerns that relate to the performance of the teacher or other member of staff. Lower level concerns are likely to lead to a first written warning and a period of up to six to eight weeks may be granted for improvement; conversely, higher level concerns would normally lead to a final written warning and a shorter monitoring period of no more than four weeks.

The employee will be notified of the decision arising from the meeting, the timescales for monitoring and the anticipated next steps in the process.

An employee may appeal against the decision arising from the first formal meeting within five working days of receiving notification of the decision, and their appeal will normally be heard in 10 working days unless alternative timescales are agreed between the parties to the dispute.

Monitoring and review period following a formal capability meeting

A performance monitoring and review period will follow the formal capability meeting. This period will include regular task/classroom observation, performance evaluation and monitoring, training, management support and guidance.

Formal review meeting

Following the conclusion of a monitoring and review period, the member of staff will be invited to a formal review meeting. At the formal review meeting, if the person conducting the meeting is satisfied that the teacher

has made sufficient improvement, the capability procedure will end and the appraisal process will restart. If some progress has been made and there's 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 teacher will receive a final written warning.

A further monitoring period will be set, and a subsequent and final review meeting will be scheduled. If, following a final written warning, performance doesn't improve to an acceptable standard, the case will be referred to an appropriate panel of, typically, three governors.

Decision meeting

At the decision meeting, if an acceptable standard of performance has been achieved during the monitoring and review period, the capability procedure will end and the appraisal process will restart.

If performance remains unsatisfactory (ie where sufficient improvement can't be achieved despite comprehensive support or where performance concerns are of particular gravity), a decision (or recommendation to the governing body) will be made that the teacher should be dismissed or required to cease working at the school as soon as possible (consulting the local authority in those schools where they are the teacher's employer).

Dismissal

Once the decision to dismiss has been taken, the governing body will dismiss the teacher with notice; or once the governing body has decided that the teacher should no longer work at the school, it will notify the local authority of its decision and the reasons for it. The local authority must dismiss the teacher within 14 days of the date of the notification.

Appeal

If a teacher feels the decision to dismiss them is wrong or unjust, they may appeal in writing against the decision. The teacher will be informed in writing of the results of the appeal hearing without unreasonable delay.

The appeals panel should be made up of three impartial governors who weren't involved or have no knowledge of the case in which the appeal has been brought.

The decision of the appeals panel is final.

Management guidance: applying the procedures

Role of governors

Governors shouldn't normally be involved in a capability procedure before the dismissal stage unless the head teacher is the subject of the capability procedure.

Role of the head teacher

The head teacher will be responsible for taking the decision to invoke the capability procedure unless, of course, they are the subject of the procedure.

Employee representation

If the employee's chosen companion isn't available to join them and the employee proposes an alternative date and time that is reasonable and falls within five working days of the original date, this should be given careful consideration and advice should be sought to ensure that revised arrangements can be made.

Monitoring arrangements

Any monitoring undertaken should be across the range of principal job responsibilities so that a balanced view can be reached to support the evaluation of performance.

Written records

Formal warnings should be disregarded after a specified period of satisfactory performance.

First written warning - 12 months

Final written warning - 24 months

Grievances

Where an employee raises a grievance that relates to the capability procedure and its management and/or implementation, it may be appropriate to suspend the capability procedure until the grievance can be considered. But such a delay should only be considered where there's a strong indication that the employee has been mistreated.