Ashgate Primary School
Staff Appraisal and Capability Policy
2026–2027

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Recommended Policy incorporating statutory appraisal requirements for teachers

Approved by:	**Governing Body**	**Date:**
Last reviewed on:	**November 2026**	
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1. Policy Statement

Ashgate Primary School is committed to maintaining the highest standards of teaching, leadership and support for all pupils. The appraisal process exists to support professional growth, recognise effective practice, improve outcomes for children and ensure accountability across the organisation.

The school believes that appraisal should be:

- Developmental rather than punitive.
- Fair and transparent.
- Linked to school improvement priorities.
- Supportive of staff wellbeing.
- Focused on improving outcomes for pupils.
- Underpinned by professional trust and collaboration.

This policy reflects Ashgate's commitment to excellence, inclusion, safeguarding, equality and continuous improvement.

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2. Legislative Framework

This policy has been developed in accordance with:

- Education Act 2002.
- Education (School Teachers' Appraisal) (England) Regulations 2012.

- School Teachers' Pay and Conditions Document (STPCD) 2026.
- Teachers' Standards.
- Headteachers' Standards.
- Equality Act 2010.
- Employment Rights Act 1996.
- Data Protection Act 2018.
- UK General Data Protection Regulation (UK GDPR).
- ACAS Code of Practice on Disciplinary and Grievance Procedures.
- Department for Education guidance on teacher appraisal and capability.
- Early Career Framework (ECF) requirements.
- Relevant Derby City Council HR guidance and procedures.

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3. Guiding Principles

The Governing Board will ensure:

- Consistency and fairness.
- Equality of opportunity.
- Freedom from discrimination.
- Appropriate support for staff development.
- Reasonable adjustments for disabled staff.
- Appropriate consideration of workload and wellbeing.

Appraisal will take account of protected characteristics under the Equality Act 2010, including:

- Disability.
- Sex.
- Pregnancy and maternity.
- Race.
- Religion or belief.
- Sexual orientation.
- Age.
- Gender reassignment.
- Marriage and civil partnership.

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4. Scope

This policy applies to:

- The Headteacher.
- Teachers employed at the school.
- Support staff employed by the school.

The statutory teacher appraisal process does not apply to:

- Teachers undergoing statutory induction as Early Career Teachers where separate arrangements are in place.
- Staff subject to formal capability procedures.

A similar appraisal framework will be used for support staff.

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5. Roles and Responsibilities

Governing Board

The Governing Board will:

- Approve and monitor this policy.
- Ensure statutory compliance.
- Conduct the Headteacher's appraisal through an appointed panel.
- Appoint an external adviser for Headteacher appraisal.
- Ensure appropriate links between appraisal and pay determinations.

Headteacher

The Headteacher will:

- Implement the policy.
- Ensure consistency and fairness.
- Delegate appraisal responsibilities appropriately.
- Monitor quality assurance across the process.
- Identify professional development priorities.

Appraisers

Appraisers will:

- Set and review objectives.
- Provide constructive feedback.
- Monitor progress fairly.
- Identify support and development opportunities.
- Maintain confidentiality.

Employees

Employees will:

- Engage professionally with the process.
- Contribute to objective setting.
- Participate in agreed development activities.

- Maintain evidence of professional impact.

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6. Appraisal Process

The appraisal cycle will normally operate annually.

Annual Cycle

Activity	Timescale
Objective Setting Meeting	September
Mid-Year Review	Spring Term
Final Review Meeting	September/October
Pay Recommendations (where applicable)	October

Appraisal meetings will normally take place within directed time.

Each teacher will receive a written appraisal statement containing:

- Agreed objectives.
- Success criteria.
- Sources of evidence.
- Planned support.
- Professional development opportunities.

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7. Objective Setting

Objectives will:

- Reflect school improvement priorities.
- Be linked to pupil outcomes where appropriate.
- Support professional development.
- Be realistic and achievable.
- Take workload into consideration.

Objectives will follow the SMART principle:

- Specific
- Measurable
- Achievable
- Relevant
- Time-bound

Normally no more than three objectives will be set.

Objectives may be amended where circumstances significantly change.

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8. Monitoring and Evidence

Evidence will be proportionate and collected through normal professional practice.

Evidence may include:

Teaching Staff

- Learning walks.
- Lesson visits.
- Book scrutiny.
- Curriculum reviews.
- Pupil progress information.
- Pupil voice.
- Parent feedback.
- Professional discussions.
- Contribution to school improvement.
- Safeguarding compliance.

Support Staff

- Performance against role expectations.
- Quality assurance activities.
- Service delivery outcomes.
- Professional conduct.
- Contribution to school priorities.

The school does not use graded lesson observations as part of routine appraisal.

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9. Professional Development

Professional development is central to appraisal.

Support may include:

- Coaching.
- Mentoring.
- WalkThrus and instructional coaching.
- Peer observation.
- Professional learning communities.
- External training.

- National Professional Qualifications (NPQs).
- Derby City Local Authority training programmes.

Development opportunities will be linked to:

- Individual needs.
- School priorities.
- Career aspirations.
- Succession planning.

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10. Teachers' Standards

Teachers will be assessed against:

Part One

- Teaching
- Assessment
- Curriculum knowledge
- Behaviour management
- Adaptation for pupils
- Professional responsibility

Part Two

- Personal and professional conduct

School leaders will additionally be evaluated against relevant leadership standards and responsibilities.

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11. Pay Progression

Pay progression will be determined in accordance with:

- The School Teachers' Pay and Conditions Document 2026.
- Ashgate Primary School Pay Policy.

Recommendations will be based upon:

- Achievement of objectives.
- Performance against Teachers' Standards.
- Professional conduct.
- Contribution to school improvement.

Pay progression is not automatic.

The Governing Board retains responsibility for final pay decisions.

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12. Staff Wellbeing

Ashgate Primary School recognises that staff wellbeing is essential to effective school improvement.

The appraisal process will:

- Be supportive and developmental.
- Avoid excessive bureaucracy.
- Focus on meaningful evidence.
- Promote professional dialogue.
- Consider personal circumstances where appropriate.

Leaders will actively consider:

- Workload implications.
- Wellbeing needs.
- Individual circumstances.
- Occupational Health recommendations where applicable.

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13. Equality and Reasonable Adjustments

The school will make reasonable adjustments where required for employees with disabilities or medical conditions.

Appraisal arrangements may be adjusted to reflect:

- Disability.
- Pregnancy.
- Maternity leave.
- Long-term illness.
- Caring responsibilities.

Staff will not be disadvantaged because of protected characteristics or approved absences.

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14. Confidentiality and Data Protection

All appraisal records are confidential.

Information will be processed in accordance with:

- UK GDPR.
- Data Protection Act 2018.

Access will be restricted to:

- Relevant appraisers.
- Headteacher.
- Governors where necessary.
- HR advisers where appropriate.

Records will normally be retained for six years before secure disposal.

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15. Transition to Capability

Capability procedures will only be used where:

- Serious concerns exist regarding performance;
- Appropriate support has been provided;
- Improvement has not been secured through appraisal processes.

The Headteacher will determine whether concerns should move from appraisal into capability procedures.

The employee will be informed in writing of:

- The concerns.
- The evidence.
- The reasons for transition.
- The next steps.

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16. Capability Procedure

Stage 1: Formal Capability Meeting

The employee will receive at least five working days' notice.

The meeting will:

- Identify concerns.
- Review available evidence.
- Allow the employee to respond.
- Determine required improvements.
- Identify support arrangements.
- Set monitoring timescales.

Outcomes may include:

- Return to appraisal.
- Formal written warning.
- Final written warning in serious cases.

Stage 2: Monitoring Period

Monitoring will normally last between:

4 and 10 working weeks

Support may include:

- Coaching.
- Mentoring.
- Additional supervision.
- Professional development.
- Targeted support plans.

Stage 3: Formal Review Meeting

The review meeting will consider whether:

- Required improvements have been made.
- Monitoring should continue.
- Further formal action is required.

Stage 4: Decision Hearing

Where performance remains unacceptable despite support, a Governor Panel may consider:

- Further support.
- Redeployment where available.
- Dismissal in accordance with employment law and Local Authority procedures.

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17. Appeals

Employees may appeal against:

- Formal warnings.
- Capability outcomes.

- Dismissal decisions.

Appeals must be submitted in writing within five working days.

Appeals will be heard by governors who have had no prior involvement in the case.

The decision of the Appeal Panel will be final.

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18. Monitoring and Review

The Governing Board will monitor the implementation of this policy annually.

The policy will be reviewed:

- Annually.
- Following legislative changes.
- Following significant DfE, Derby City Council or employment law updates.

Ashgate Commitment

At Ashgate Primary School, appraisal is viewed as an opportunity to develop professional expertise, celebrate success, strengthen practice and improve outcomes for every child. We believe that a culture of high expectations, professional trust, inclusion, safeguarding and continuous improvement enables both staff and pupils to thrive.