



# Thomson House School

## Appraisal and Capability Procedures

Agreed by: Education Committee  
Date: June 2023

Review Cycle: Three years  
Review Date: June 2026

All the Thomson House School policies should be read in conjunction with the Equality Policy

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## **Thomson House School Appraisal and Capability Procedures**

### **Purpose**

This policy sets out the framework for a clear and consistent assessment of the overall performance of teaching staff, including the headteacher, and non-teaching staff at Thomson House School.

The policy aims to support the professional development within the context of the school's strategic development plan for improving educational provision and performance, and the standards expected of teachers.

It also sets out the arrangements that will apply when staff fall below the levels of competence that are expected of them.

### **Application of the policy**

The policy is in two separate sections.

Part A of the policy, which covers appraisal, applies to all staff employed by the school, except those on contracts of less than one term, those undergoing induction (i.e. ECTs), Schools Direct students and those who are subject to Part B of the policy.

Part B of the policy, which sets out the formal capability procedure, applies only to staff (including the Executive Head Teacher) about whose performance there are serious concerns which the appraisal process has been unable to address. This policy provides a fair and consistent process to support an employee to improve their performance to acceptable and agreed standards. It is important to recognise that genuine incapability is not misconduct and should be treated supportively

Both parts of the policy will be applied in a way that is robust whilst minimising the impact on workload for non-teaching staff, teaching staff, leaders / line managers, headteachers and the Governing Board.

## **Part A – Appraisal**

At Thomson House School, all employees will be provided with appropriate support, assistance and training to develop skills which enable them to fulfil their duties and responsibilities. The continued success of the school is dependent on its employees achieving and maintaining high standards of performance in their roles, and it is therefore the responsibility of senior leaders to:

- Regularly monitor performance of employees through the appraisal process;
- Develop the skills, knowledge and understanding of all staff through training and support;
- Ensure job descriptions accurately describe the main purpose, scope, tasks and responsibilities of the job and should be current and relevant.
- Ensure recruitment and selection is thorough to ensure that only those with the necessary skills and abilities to do the job are appointed.
- Set standards of performance and explain with arrangements in place for training and supervision and that the employee understands what is expected of them.
- Monitor performance carefully during the probationary period to identify specific development needs and check that performance is developing as expected.
- Discuss performance regularly with each employee so that they are aware of how they are doing. There should be no surprises at any performance review meeting as any concerns in performance should be discussed with the employee at the earliest opportunity.
- Inform the employee where standards change because of a management decision, such as the introduction of new technology or new methodologies etc. are trained as required and made fully aware of their new obligations and the required standards.
- Ensure workloads are manageable and resources sufficient.
- Discuss the needs of an employee with a disability with them in relation to possible impact on performance.
- Special attention is given to ensuring that employees, for whom English may not be their first language, understand instructions and expected standards and targets.

### **The Appraisal Period**

The appraisal period will run for twelve months from September to September for leaders and teachers, and from February to February for all other staff.

Staff who are employed on a fixed term contract of one year or less will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract and an individual's objectives should take account of the length of contract.

### **Appointing Appraisers**

The Executive Head Teacher will be appraised by the Governing Board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Board for that purpose.

In Thomson House School the task of appraising the headteacher, including the setting of objectives, will be delegated to a sub-group consisting of two or three Governors.

The Executive Head Teacher will decide who will appraise other members of staff.

### **Setting Objectives**

The Executive Head Teacher's objectives will be set by the Governing Board after consultation with the external adviser. The Governing Board has a duty to have regard to the work-life balance of the headteacher and objectives will reflect this.

Objectives for leaders and teachers will be set before, or as soon as practicable after, the start of their appraisal period – September / October. Objectives for all other staff will be set in line with their appraisal period commencing in February.

The objectives set for staff, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the member of staff's role and level of experience. Objectives can be set in relation to robust pupil assessment data. however, these will not be used in isolation and other factors will also be considered when making decisions about pay progression. Objectives will be set in line with the school's strategic development plan.

The appraiser and member of staff will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives should be revised if circumstances change.

The objectives set for staff will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils.

Before, or as soon as practicable after, the start of each appraisal period, teachers (not ECTs) will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. All teachers at Thomson House School are assessed against the "Teachers' Standards" published in July 2011 (updated June 2013). Appendix 1.

### **Reviewing performance**

#### **Observation**

Thomson House School believes that observation of classroom practice and other responsibilities is important as a way of assessing teachers' performance in order to identify any particular strengths and areas for development they may have, gaining useful information which can inform school improvement more generally and enabling teachers to learn from each other and collaborate.

All observation will be carried out in a supportive fashion and not add to teacher workload.

Teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, Senior Leaders with responsibility for teaching standards may "drop in" in order to evaluate the standards of teaching and to check that high standards of professional performance are established and maintained. The length and frequency of "drop in" observations will vary depending on specific circumstances.

Teachers, including the Executive Head Teacher, who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

### **Development and support**

Appraisal is a supportive process which will be used to determine decisions on pay progression and inform continuing professional development. Thomson House School encourages a culture in which all teachers take responsibility for improving their teaching through appropriate professional development. Professional development for all staff is linked to school improvement priorities and to the ongoing professional development needs and priorities of individual member of staff.

### **Feedback**

Teaching staff will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that require further development. Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:

- give clear feedback to the teacher about the nature and seriousness of the concerns;
- give the teacher the opportunity to comment and discuss the concerns;
- set clear objectives for required improvement;
- 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;
- explain the implications and process if no, or insufficient, improvement is made – e.g., impact on pay progression and potential move to formal capability.

When progress is reviewed, if the appraiser is satisfied that the teacher 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.

### **Evidence**

The range and level of evidence collected for appraisal and pay determination purposes will always be proportionate and minimise workload.

### **Transition to capability**

If a member of staff demonstrates serious underperformance and has not responded to support provided within the appraisal process, the member of staff will be notified in writing that the appraisal system will no longer apply and that their performance will be managed under the capability procedure. They will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

### **Annual assessment**

Each member of staff's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Executive Head Teacher, the Governing Board must consult the external adviser.

This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place mid-year.

The member of staff will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment on – an appraisal report. Leaders and teachers will receive their appraisal reports by 31 October. Support staff will receive their appraisal reports by 28<sup>th</sup> February. The appraisal report will include:

- details of the objectives for the appraisal period in question;
- an assessment of their performance in their role and responsibilities against their objectives and the relevant standards;
- an assessment of the professional development needs and identification of any action that should be taken to address them;
- a recommendation on pay where that is relevant (NB – pay recommendations need to be made by 31 December for headteachers and by 31 October for other teachers);

The assessment of performance and of professional development needs will inform the planning process for the following appraisal period.

## **Part B – Capability Procedure**

This procedure applies only to members of staff where there is serious underperformance which the appraisal process has been unable to address. If at any stage in the process poor work performance is attributed to misconduct such as wilful negligence, laziness, carelessness or other wilful acts, then Thomson House School's Disciplinary Procedure will be invoked.

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 member of staff 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 member of staff 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 are entitled to request an alternative date which is within five days of the original date.

### **Formal capability meeting**

This meeting is intended to establish the facts. It will be conducted by the Chair of Governors (for Executive Head Teacher capability meetings) or the Executive Head Teacher (for other members of staff). 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 teachers 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 would be between 4 and 6 weeks (half a term)
- 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 member of staff 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.

### **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)

### **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.

### **Decision Meeting**

As with formal capability meetings and formal review 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 teacher 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 Board, will be made that the member of staff should be dismissed or required to cease working at the school.

The member of staff 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.

### **Decision to dismiss**

The power to dismiss staff has been delegated to the Executive Head Teacher. The Executive Head Teacher is required to inform the Chair of Governors or Vice Chair of Governors before the decision is taken.

### **Dismissal**

Once the decision to dismiss has been taken, the Executive Head Teacher will dismiss the member of staff with notice.

### **Appeal**

If a member of staff 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 date of the letter informing them of this 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 a panel of three Governors who have not previously been involved in the case. The member of staff will be informed in writing of the results of the appeal hearing within 10 working days of the panel having sat to review the appeal.

### **General Principles Underlying This Policy**

#### [ACAS Code of Practice on Disciplinary and Grievance Procedures](#)

Part B of the policy will be implemented in accordance with the provisions of the ACAS Code of Practice.

### **Confidentiality**

The appraisal and capability processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the Executive Head Teacher and Governing Board to quality-assure the operation and effectiveness of the appraisal system. The Executive Head Teacher will review all staff members' objectives and written appraisal records personally, in order to check consistency of approach and expectation between different appraisers.

## **Consistency of Treatment and Fairness**

The Governing Board is committed to ensuring consistency of treatment and fairness. It will abide by all relevant equality legislation, including the duty to make reasonable adjustments for disabled members of staff. The Governing Board is aware of the guidance on the Equality Act issued by the Department for Education.

Where capability issues may be attributed to disability, the school will seek to provide reasonable adjustments.

## **Definitions**

Unless indicated otherwise, all references to “member of staff” include the Executive Head Teacher.

## **Delegation**

Normal rules apply in respect of the delegation of functions by the Governing Board to the Executive Head Teacher.

## **Grievances**

Where a member of staff raises a grievance during the capability procedure the capability procedure may be 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.

## **Sickness**

If long term sickness absence appears to have been triggered by the commencement of monitoring performance at any stage of the procedure or a formal capability procedure, the case will be referred immediately to the occupational health service to assess the member of staff'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.

## **Monitoring and Evaluation**

The Governing Board and Executive Head Teacher will monitor the operation and effectiveness of the school's appraisal arrangements. This will include ensuring that the arrangements minimise the impact on workload for all parties involved.

## **Retention**

The Governing Board and Executive Head Teacher will ensure that all written appraisal records are retained and stored in a secure place in line with current requirements.

## **Employment References to Prospective Employers**

### **Teachers**

Under The School Staffing (England) (Amendment) Regulations 2012 a school must pass on to a prospective employer, on request, information about whether a teacher is or has been subject to capability in the preceding two years. The information provided should include written details of the concerns which gave rise to this, the duration of the proceedings and their outcome. It is considered that this will prevent the recycling of poor teachers from school to school.

### **Support Staff**

When the school is providing a reference to a prospective employer on behalf of an employee, the reference should only disclose details of capability issues if the employee is undergoing capability procedures at the time of writing the reference. Where the employee has previously undergone capability procedures, but the issue has been resolved at the time of writing the reference, this should not be disclosed in the reference unless there is an unspent warning on the employee's file which has been issued relating to capability

### **Monitoring and Review**

This policy is monitored by the Education Committee of the Governing Board, and will be reviewed every three years, or more frequently if updated guidance is issued.

**Date of Policy: June 2023**

**Date to be reviewed: June 2026**

### **Appendices:**

Appendix 1 – Teachers Standards Self Review Template

Appendix 2 – Performance Management Documents Template

Appendix 3 – Model Letter: Notification of Formal Capability Meeting

Appendix 4 – Model Letter: Notification of Outcome of Formal Capability Meeting

Appendix 5 - Model Letter: Notification of Formal Review Meeting  
Appendix 6 - Model Letter: Notification of Outcome of Formal Review Meeting (insufficient improvement)  
Appendix 7 - Model Letter: Confirmation of Improvement in Performance  
Appendix 8 - Model Letter: Extension of Review Period Following Formal Review/Decision Meeting  
Appendix 9 - Model Letter: Notification of Dismissal  
Appendix 10 - Model Letter: Notification of Capability Appeal Review Hearing  
Appendix 11 - Model Letter: Notification of Capability Appeal Review Hearing Outcome



**Appendix 1**

### **Teaching Standards 2013 – Self Review Template**

This can be used in advance of the appraisal meeting to identify standards already meeting and areas for development. Where there are development needs this should form part of the discussion at appraisal and incorporated into the objectives, evidence/success criteria, training

and support agreed. We recommend that this is used year on year (rather than starting a new one each year) unless an individual's job changes significantly. A copy of the teaching standards can be obtained from the DfE [www.education.gov.uk](http://www.education.gov.uk)

## Part one: Teaching

Teachers make the education of their pupils their first concern and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge, keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils

Standard	Exemplification	Meet/ partially/ not	Notes/Evidence/ Dates
1. A teacher must set high expectations which inspire, motivate and challenge pupils	<ul style="list-style-type: none"><li>• establish a safe and stimulating environment for pupils, rooted in mutual respect</li><li>• set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions</li><li>• demonstrate consistently the positive attitudes, values and behaviour, which are expected of pupils.</li></ul>		
2. Promote good progress and outcomes by pupils	<ul style="list-style-type: none"><li>• be accountable for pupils' attainment, progress and outcomes</li><li>• be aware of pupils' capabilities and their prior knowledge, and plan teaching to build on these</li><li>• guide pupils to reflect on the progress they have made and their emerging needs</li><li>• demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching</li><li>• encourage pupils to take a responsible and conscientious attitude to their own work and study</li></ul>		
3. Demonstrate good subject and curriculum knowledge	<ul style="list-style-type: none"><li>• have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject, and address misunderstandings</li><li>• demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship</li><li>• demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulacy and the correct use of standard English, whatever the teacher's specialist subject</li></ul>		

Standard	Exemplification	Meet/ partially/ not	Notes/Evidence/ Dates
	<ul style="list-style-type: none"> <li>• if teaching early reading, demonstrate a clear understanding of systematic synthetic phonics</li> <li>• if teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies</li> </ul>		
4. Plan and teach well structured lessons	<ul style="list-style-type: none"> <li>• impart knowledge and develop understanding through effective use of lesson time</li> <li>• promote a love of learning and children's intellectual curiosity</li> <li>• set homework and plan other out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired</li> <li>• reflect systematically on the effectiveness of lessons and approaches to teaching</li> <li>• contribute to the design and provision of an engaging curriculum within the relevant subject area(s)</li> </ul>		
5. Adapt teaching to respond to the strengths and needs of all pupils	<ul style="list-style-type: none"> <li>• know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively</li> <li>• have a secure understanding of how a range of factors can inhibit pupils' ability to learn, and how best to overcome these</li> <li>• demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development</li> <li>• have a clear understanding of the needs of all pupils, including those with special educational needs; those of high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them</li> </ul>		
	<ul style="list-style-type: none"> <li>• know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements</li> </ul>		

Standard	Exemplification	Meet/ partially/ not	Notes/Evidence/ Dates
6. Make accurate and productive use of assessment	<ul style="list-style-type: none"> <li>• make use of formative and summative assessment to secure pupils' progress</li> <li>• use relevant data to monitor progress, set targets, and plan subsequent lessons</li> <li>• give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback</li> </ul>		
7. Manage behaviour effectively to ensure a good and safe learning environment	<ul style="list-style-type: none"> <li>• have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy</li> <li>• have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly</li> <li>• manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them</li> <li>• maintain good relationships with pupils, exercise appropriate authority, and act decisively when necessary</li> </ul>		
8. Fulfil wider professional responsibilities	<ul style="list-style-type: none"> <li>• make a positive contribution to the wider life and ethos of the school</li> <li>• develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support</li> <li>• deploy support staff effectively</li> <li>• take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues</li> <li>• communicate effectively with parents with regard to pupils' achievements and well-being</li> </ul>		

## Part two: Personal and professional conduct

A teacher is expected to demonstrate consistently high standards of personal and professional conduct. The following statements define the behaviour and attitudes, which set the required standard for conduct throughout a teacher's career

Standard	Meet/ partially/ not	Notes/Evidence/Dates
<p>A. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</p> <ul style="list-style-type: none"><li>• treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position</li><li>• having regard for the need to safeguard pupils' well-being, in accordance with statutory provisions</li><li>• showing tolerance of and respect for the rights of others</li><li>• not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs</li><li>• ensuring that personal beliefs are not expressed in ways, which exploit pupils' vulnerability or might lead them to break the law.</li></ul>		
<p>B. Teachers must have proper and professional regard for the ethos, policies and practices of the school in which they teach, and maintain high standards in their own attendance and punctuality</p>		
<p>C. Teachers must have an understanding of, and always act within, the statutory frameworks, which set out their professional duties and responsibilities</p>		

## Performance Management Documents Templates



Thomson House School

27, Sheen Lane, London SW14 8HY

PERFORMANCE MANAGEMENT – (NAME)	
APPRAISEE:	Date
APPRAISER:	
Review of Previous Year's Targets:	
Target 1:	
Target 2:	
Target 3:	
Target 4:	

**Any Other Issues:**

**Monitoring and Evaluation Schedule:**

**CPD Support:** (Linked to Targets)

**Coaching Sessions Agreed:**



THOMSON HOUSE SCHOOL

Thomson House School

Sheen Lane, Mortlake, London SW14 8HY

PERSONAL TARGETS – (Name)

PERSONAL TARGETS – (Name)			
	TARGET	SUCCESS CRITERIA	EVIDENCE
PUPIL PROGRESS			

<b>CURRICULUM / KEY STAGE FOCUS</b>			
<b>WIDER SCHOOL IMPACT</b>			
<b>PROFESSIONAL DEVELOPMENT</b>			

<b>APPRAISEE SIGNATURE:</b>	<b>APPRAISER SIGNATURE:</b>
<b>DATE:</b>	<b>DATE:</b>





THOMSON HOUSE SCHOOL

Thomson House School

Sheen Lane, Mortlake, London SW14 8HY

## PERFORMANCE MANAGEMENT MID-YEAR REVIEW FORM

### Mid-Year Review Statement for Cycle 20\_\_/\_\_

Please summarise the progress made towards achieving the agreed objectives:

Target 1:

Target 2:

Target 3:

Target 4:

Please outline any barriers / amendments required to objectives in order for them to be achieved:

Is there any further support / development required? If so, please record here:

**Reviewee signature:**

**Date:**

**Reviewer signature:**

**Date:**

## Model Letter: Notification of Formal Capability Meeting

Dear

REF: **Formal Capability Meeting**

In accordance with Thomson House School's Appraisal and Capability Procedures, I would like you to attend a meeting with me on (date) at (time) in (place) to discuss the concerns about your performance which are detailed below and explore ways in which the school may be able to support you in reaching the required standard in the areas identified.

*State clearly the areas of concern here*

- 1.
- 2.
- 3.
- 4.

I attach copies of evidence from the Feedback stage of the *Appraisal Procedure* which will be considered at the meeting. These include *(list what is being attached e.g., the objectives and support plan agreed for the Feedback stage, notes from review meetings, observations, details of support provided etc)*.

At the meeting you have will have the opportunity to present your case and any acceptable reasons in response to the allegation of poor performance.

If during the meeting there is evidence that the poor performance is due to wilful carelessness or negligence on your part, the meeting will be adjourned and the matter will be dealt with in accordance with the Thomson House School's Disciplinary Procedure.

You have the right to be accompanied to the meeting by a trade union representative, or a work colleague or a friend.

I enclose a copy of the THS Appraisal and Capability Procedures for your information.

I appreciate that this may be an anxious time for you and would like to inform you that the school's free employee counselling service is available if you require support at this time. You can contact them on *(insert contact details)* and/or *I enclose a leaflet....*

Please inform me directly if you require any clarification about the process.

Yours sincerely,

## Model Letter: Notification of Outcome of Formal Capability Meeting

Dear

REF: **Outcome of Formal Capability Meeting**

I refer to the Formal Capability Meeting held on *(date)* write to confirm the outcome.

We discussed the areas of concern in your performance which are as below:

1.

2.

3.

4.

You explained that *(insert any explanation that the employee gave about their perception of their own performance and any reasons given for the performance issues raised)*

After full consideration of the points raised, it was agreed that the following action would be taken in an attempt to resolve these difficulties:-

*(insert details of constructive action to be taken by the manager and/or employee to address the performance issues i.e., details of performance standard to be achieved, type of support which will be provided by the school and the areas in which this support will be provided, frequency of review meetings during the review period etc.)*

A review period of (enter number of working day for review period) is being set from *(date of meeting)* and your performance will be reviewed at a Formal Review Meeting on *(date)*.

In view of the poor performance it is my decision that you should receive a written warning to remain on your record for 12 months. I must inform you that if you fail to achieve the required standard and the matter was to progress to the Capability Review Hearing stage consideration will be given to your dismissal on the grounds of capability.

I attach a copy of the notes of the meeting for your information.

You have the right to appeal against the warning in accordance with the School's Capability Procedure. If you wish to appeal, you must submit a written statement of appeal to me within 10 working days of receipt of this letter. The letter should clearly state the grounds of the appeal, which should be based on any or all of the following:

- The severity of the disciplinary action and/or
- The finding of the Formal Capability Meeting on a point of fact and/or
- A failure to adhere to agreed procedure

Any appeal will be heard by a Governors Appeal Committee.

Yours sincerely,



**Model Letter – Notification of Formal Review Meeting**

Dear

**REF: Formal Review Meeting**

I would like you to attend a Formal Review Meeting on (date) at (time) in (venue). The purpose of this meeting is to review your performance over the (number of days eg 30) working day review period agreed at the Formal Capability Meeting on (date).

I attach written evidence obtained during the review period for consideration at the meeting and this includes:

*(List supporting evidence to be considered at the meeting)*

You have the right to be accompanied to the meeting by a trade union representative, or a work colleague or a friend.

I appreciate that this may be an anxious time for you and would like to inform you that the school's free employee counselling service is available if you require support at this time. You can contact them on *(insert contact details)* and/or *I enclose a leaflet...*

Please inform me directly if you require any clarification about the process.

Yours sincerely

## Appendix 6

### Model Letter - Notification of Outcome of Formal Review Meeting (insufficient improvement)

Dear

I refer to the Formal Review Meeting on (date) and write to confirm the outcome.

Following the meeting and review of the evidence obtained during the set review period I have to inform you that there has been no/insufficient improvement in your performance.

*Points discussed should be entered here around how the previous review period has gone*

In view of no/insufficient improvement achieved, it is my decision that you should receive a final written warning to remain on your record for 2 years.

This invokes a further review period of (enter number of days eg 30) working days to be set and your performance will be reviewed at a Decision Meeting to be held on (date).

During the review period *(insert details of constructive action to be taken by the manager and/or employee to address the performance issues i.e., details of performance standard to be achieved, type of support which will be provided by the school and the areas in which this support will be provided, frequency of review meetings during the review period etc.)*

I must inform you that if you fail to achieve the required standard and the matter was to progress to Capability Review Hearing, consideration will be given to your dismissal on the grounds of capability.

Yours sincerely

## Appendix 7

### Model Letter - Confirmation of Improvement in Performance

Dear

### **Formal Review Meeting**

Following our meeting on (*date*) to review your performance I am pleased to inform you that your performance has improved to the required standard and, consequently, I do not intend to take any further action under the Capability Procedure.

Your performance will revert to being managed under the school's Appraisal Procedures.

I must inform you that should any further problems in your work performance arise further action under the Capability Procedures may be necessary.

I would like to congratulate you on the effort you have put in to improve the standard of your work in the areas specified. I hope that you will be able to sustain this improvement and would encourage you to seek help immediately should you experience any problems with your work in the future.

Yours sincerely

**Appendix 8**

### **Model Letter - Extension of Review Period Following Formal Review/Decision Meeting**

Dear

I refer to the Formal Capability/Formal Review meeting held on *(date)* when your performance at work was discussed.

I am very pleased to confirm that you have achieved the expected standard of performance in the following areas:-

*(state the areas where the expected performance standards have been achieved)*

I would like to congratulate you on the effort you have put in to achieving the required standard in the areas specified.

However, as discussed, concerns remain in respect of the following:-

*(state here the areas of concern which remain, these should be very specific detailing in what way performance standards have not reached so that the employee is left in no doubt)*

You explained that *(insert any explanation that the employee gave about their perception of their own performance and any reasons given for the performance issues raised)*

After full consideration of the points raised, it was agreed that the following action would be taken in an attempt to resolve *these difficulties/assist you to reach the required standard:-*

*(insert details of constructive action to be taken by the manager and/or employee to address the performance issues i.e., details of performance standard to be achieved, type of support which will be provided by the school and the areas in which this support will be provided, frequency of review meetings during the review period etc.)*

In the circumstances the current review period will be extended by a further *(number of working days, this should be no more than half the original review period)* days to enable you to achieve the expected standard in the area(s) specified. Therefore a Formal Review Meeting/Decision Meeting to consider your performance will be held on *(date)*.

I must inform you that if you fail to achieve the required standard and the matter was to progress to the Capability Review Hearing, consideration will be given to your dismissal on the grounds of capability.

Yours sincerely

**Appendix 9**

## **Model Letter – Notification of Dismissal**

Dear

I am writing to confirm the decision taken under Thomson House School's Appraisal and Capability Procedures is to dismiss you from work with effect from .....

The reason for your dismissal is *(state details of poor performance)*.

The period of notice is (state period of notice) and therefore your final day of employment for payment purposes is (state date employment ends).

If you wish to contact the school please telephone (name of designated person) on (insert telephone number). I must ask you not to contact any other member of staff, pupil at the school or any member of the Governing Body.

If you wish to collect any personal belongings at the school, please contact (name of designated person) who will make the appropriate arrangements.

You have the right to appeal this decision. If you wish to do so, please put a request for an appeal in writing against the dismissal decision within five days of the date of the letter informing you 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 a panel of three Governors who have not previously been involved in the case. You will be informed in writing of the results of the appeal hearing within 10 working days of the panel having sat to review the appeal.

I appreciate that this will be a difficult time for you and would like to inform you that the school's free employee counselling service is available if you require support at this time. You can contact them on *(insert contact details)* and/or *I enclose a leaflet....*

Yours sincerely

## Appendix 10

### Model Letter - Notification of Capability Appeal Review Hearing

Dear

#### Capability Appeal Review Hearing

I write to inform you that in accordance with Thomson House School's Appraisal and Capability Procedures you are required to attend a Capability Appeal Review Hearing in relation to the decision to dismiss you due to your poor performance at work.

The Capability Appeal Review Hearing will be held on *(date)* at *(time)* at *(place)*. The Capability Appeal Review Panel will consist of:-

*List the names of the 3 governors*

The purpose of the Capability Appeal Review Hearing is to review the decision to end your employment with the school as *(enter job title)* following unsatisfactory assessments of your capability for the post. The following areas have been identified where you have failed to reach the required standard.

(i)

(ii)

(iii)

The purpose of the Capability Appeal Review Hearing is also to confirm that all the appropriate procedures have been followed and that any actions have been reasonable in all the circumstances. This will include that you have previously been advised that there was consideration given to your dismissal if you did not meet the standards required for the post which you are employed to.

You have the right to be accompanied to the Appeal Review Hearing by a trade union representative, or a work colleague or a friend.

I enclose the 'bundle of documents', which includes a copy of Thomson House School's Appraisal and Capability Procedures, for consideration at the Capability Appeal Review Hearing.

I would be grateful if you could confirm your attendance as soon as possible. If you wish to submit any documentation to be considered at the Appeal Review Hearing please forward this no later than 3 working days before the Appeal Review Hearing.

I appreciate that this may be an anxious time for you and would like to inform you that the school's free employee counselling service is available if you require support at this time. You can contact them on *(insert contact details)* and/or I enclose a leaflet....

Yours sincerely

Chair of Governors

## Model Letter - Notification of Capability Appeal Review Hearing Outcome

Dear

### Capability Appeal Review Hearing Outcome

I write to inform you that in accordance with Thomson House School's Appraisal and Capability Procedures a Capability Appeal Review Hearing took place on *(date)* at *(time)* at *(place)*. The Capability Appeal Review Panel purpose was to review the decision to terminate your employment due to poor performance at work and review the processes leading to this decision.

The panel of Governors involved in the Appeal Review Hearing consisted of:-

*List the names of the 3 governors*

The panel of Governors examined the following areas which were identified as those where you have failed to reach the required standard.

(i)

(ii)

(iii)

The decision of the panel is to uphold the decision / not uphold the decision for the following reasons:

1.

2.

3.

Either: Therefore, your employment at Thomson House School will be terminated on (enter date).

The period of notice of (enter notice period) will be included in your final pay.

Or: Therefore, the Governors would value a further conversation with you and the Head Teacher to establish how Thomson House School can work with you to reinstate you in your role as (insert role) or to discuss other roles which may be available to you. Give date of next meeting within 5 days of the review meeting. You have the right to be accompanied to this next meeting by a trade union representative, or a work colleague or a friend.

I appreciate that this may be an anxious time for you and would like to inform you that the school's free employee counselling service is available if you require support at this time. You can contact them on *(insert contact details)* and/or I enclose a leaflet....

Yours sincerely

Chair of Governors