



ST. ANDREW'S
COLLEGE
Cambridge

COLLEGE POLICY DOCUMENT

Performance management and capability policy

Issue No.: 01	Document Number: STAN:
Issue Date: 10 th February 2016	Originator: Wayne Marshall
Version: 02	Responsibility: Managing Director / Deputy Managing Director
Reason for version change: Review	Dated: 10 th February 2016
Authorised by: Wayne Marshall Date: 8 th August 2017	Signature:

This policy applies to the Principal and all teachers employed by the colleges except those on contracts of less than one term, NQTs and those subject to capability procedures as described in Part B below.

A. Teacher appraisal

St. Andrew's College Cambridge is committed to enabling staff to work to the high standard expected of them with the aim of delivering outstanding educational provision. This policy complies with current legislation, including the Education (College Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations), and is a key part of our college's effort to ensure that effective performance management and staff appraisal are carried out. This policy is supported by the college's **staff discipline, conduct and grievance policy**. These policies can be found in the college's Dropbox, which is available to all staff.

The appraisal period

The appraisal period will run for months from September 2016 to August 2017.

Roles and responsibilities

College Directors

The college directors are responsible for creating this policy, reviewing it and ensuring that it is operating effectively. In developing the policy the college directors have taken into consideration teachers' views.

The college directors are also responsible for appraising the performance of the Principal.

Principal

The Principal will decide who appraises other teachers. Staff will be notified before or as soon as practicable after the start of each appraisal period who their appraiser will be.

It is the Principal's responsibility to ensure that all staff have appropriate training and support to understand and use the policy.

The Senior Leadership Team (SMT) will have responsibility of teachers within their own departments the remainder will be completed by the Principal. A full schedule is attached to this policy – Appendix 1.

The appraisal procedure

The college will manage appraisal so that the process is clear to both appraiser and appraisee – throughout the cycle they will have a shared understanding of the objectives set, the criteria to be used to assess performance and progress towards meeting them.

Setting objectives

Objectives will be set before or as soon as practicable after the beginning of the appraisal period. The objectives will be SMART (specific, measurable, achievable, realistic and time-bound).

The Principal's objectives will be set by the college directors.

SMT objectives will be agreed by the Principal and Head of Department. Where it is not possible for them to agree, the Principal will decide the objectives.

Teachers' objectives will be agreed by the appraiser and teacher. Where it is not possible for them to agree, the appraiser will decide the objectives.

The appraiser will provide the relevant standards against which the teacher's performance in that appraisal period will be assessed, which in this college are set out in the Teachers' Standards.

Reviewing performance

Observation

Classroom observation is an important part of continuing professional development for all teaching staff, and a good way to assess performance, highlight strengths that can be celebrated and expertise that can be shared, and **pinpoint weaknesses that can be eliminated with support**. This is key to whole-college improvement.

In this college, performance will be observed regularly but the amount and type of classroom observation will depend on the individual circumstances of the employee and the overall needs of the college. Classroom observation will be carried out in a supportive way.

Observations will be carried out at least twice a year by the SMT. There will also be a number of drop in short observations during the academic year again carried out by the SMT.

Development and support

As a tool for development, the college will use appraisal to inform decisions about continuing professional development that improves performance. Agreed training and professional development will seek to develop individual good professional practice, and will also relate to whole-college improvement linked to the college's improvement priorities.

Feedback

Members of the senior leadership team are expected to give regular and timely feedback to teachers based on observation and other relevant evidence. They will highlight strengths as well as weaknesses and consider what could usefully be shared with other staff. Feedback may be given in writing or face to face.

Where there are concerns about a teacher's performance

The appraiser will arrange a face-to-face meeting with the appraisee to:

- give feedback that clearly explains concerns, their nature and seriousness
- give the appraisee the opportunity to comment on and discuss the concerns
- make clear how the appraisee will be supported (e.g. coaching, mentoring, training, structured observations, observing others in a similar role) to address the concerns
- set a date to review progress using targets that are reasonable and practical, related to the seriousness of the concerns and which allow sufficient time for improvement
- make sure the appraisee understands the implications, including the use of the capability procedure, if insufficient or no progress is made during the review period.

This meeting can take place at any time during the appraisal period. It is intended to be supportive, and to give the appraisee the opportunity to improve. The appraiser will provide the appraisee with notes from the meeting so that the appraisee is clear about the improvements that need to be made, the support that will be provided and the timescales.

At the end of the review period, if the appraiser is satisfied that the appraisee has made or is making sufficient progress, the appraisal process will continue as normal and any remaining issues will be addressed as part of the appraisal process. The review period may be extended. If there is no improvement, or insufficient improvement, the capability process at Section B of this policy will be followed.

The appraisal report and annual assessment

An annual assessment is the end point to the annual appraisal cycle and will formally assess a teacher's performance. Once feedback has been given and by 30th September, each teacher will receive a copy of their formal appraisal report. This will be a summary of performance during the year and set out development needs for the next year. In particular, the report will outline:

- details of the appraisal period objectives
- the assessment of staff performance in relation to these objectives and any relevant standards
- an assessment of the appraisee's development needs and any action required to address them

Appraisal reports will be kept and will inform planning for the next appraisal period.

B. Capability procedure

This procedure applies to teachers, Heads of Department and the Principal about whose performance there are serious concerns that the appraisal process has been unable to address. The procedure is intended to provide a framework to support them to improve.

The procedure has been designed to comply with current legislation and the ACAS Code of Practice on Disciplinary and Grievance Procedures.

In cases of misconduct, procedures outlined in the college's **staff discipline, conduct, or grievance policy** will be followed.

Formal capability meeting

The purpose of the meeting is to establish the facts.

The college director will conduct the meeting where concerns relate to the Principal.

The Principal will conduct meetings where concerns are about a Head of Department or teacher.

Possible outcomes

The chair of the meeting may decide that:

- there are insufficient grounds to use the capability procedure rather than appraisal
- further investigation is required or more time to consider additional information
- the meeting should continue.

Notice

The teacher/Head of Department/Principal about whom there are concerns will be:

- given at least five working days' notice of the meeting

- informed by letter of the date, time and venue of the meeting, of their right to be accompanied by a colleague.

Capability meeting

The person conducting the meeting will:

- identify the professional shortcomings that have led to this meeting
- listen to the response of the teacher/Head of Department/Principal, including any new information they provide
- identify the action (including support) that has been taken to date and the outcomes
- state what the improved standard of performance needs to be for the capability procedure to end
- outline a timeframe for improvement and the ways in which performance will be supported, monitored and reviewed during this time
- give a formal warning (if very serious, a final written warning) that failure to improve performance within the timeframe could lead to dismissal.

Notes of this meeting, including arrangements for monitoring and review, will be taken and copies sent to the teacher, Head of department or Principal subject to the procedure. Appraisal and capability procedures are confidential.

The teacher/Head of Department/Principal can appeal against the warning within 10 working days. This should be stated in the notes.

Monitoring and review following the capability meeting

The monitoring and review period will last for one term during which the member of staff will be given full support to improve. A full written schedule will be given to the member of staff at the start of the period.

At the end of the monitoring and review period the member of staff will be invited to a formal review meeting (see section i. below). If they have been issued with a final written warning at their capability meeting, they will be invited to a decision meeting instead (see section ii.).

i. Formal review meeting

The arrangements for notice are the same as those outlined above for the formal capability meeting.

If the person conducting the meeting is satisfied that there has been sufficient improvement, the capability procedures will end here and the appraisal process will resume.

Or they may:

- **extend the review period** if they think that the member of staff is making some improvement and are confident that more is likely
- **issue a final written warning** if there has been no or insufficient improvement.

Notes of this meeting will be taken and a copy sent to the teacher, Head of Department or Principal about whom there are performance concerns.

Where there is a final written warning, the teacher/Head of Department/Principal will be informed:

- that failure to achieve an acceptable standard of performance within the set timeframe may result in dismissal
- of arrangements for monitoring and review
- of the time limits to appeal against the warning.

They will be invited to a decision meeting at the end of the review period.

ii. Decision meeting

The arrangements for notice are the same as those outlined above for the formal capability meeting.

If the person conducting the meeting is satisfied that there has been sufficient improvement, the capability procedures will end here and the appraisal process will resume.

If performance is still unsatisfactory, a decision or recommendation will be made to the college directors to dismiss the teacher/Head of Department/Principal or require them to cease working at the college.

Decision to dismiss

Dismissal

Once the decision to dismiss has been made, the teacher, Head of Department or Principal will be dismissed with notice as outlined in their contract of employment.

Once the decision has been made, the college director as the employer will, within 14 days, dismiss the teacher/Head of Department/ Principal.

Appeals

A member of staff can appeal against the decision in writing to the college director, setting out the grounds for appeal within 10 working days of being notified of the dismissal. They may wish to appeal on the grounds that they think the action being taken against them was unjust or that the process of review was flawed. All appeals will be taken to the Board of Directors.

The appeals panel

The appeal will be dealt with impartially, and wherever possible by a panel of *college directors* who have not had any former knowledge or involvement in the case that is being dealt with at that time.

The arrangements for notice are the same as those outlined above for the formal capability meeting.

Notes will be taken at the meeting and provided to the teacher/Head of Department/Principal making the appeal.

Appeals procedure

The appeals panel may:

- uphold/dismiss all or part of the appeal
- decide on action to be taken to resolve the situation
- evaluate the evidence and recommend changes to the college's systems or procedures as a preventative step against similar problems arising in the future.

The Principal will review relevant systems regularly to ensure that they work fairly, effectively and in line with its legal responsibilities.

The employee will be informed in writing of the results of the appeal hearing within 10 working days. The panel's decision is final and there is no further right of appeal.

Reviewed: July 2016 and August 2017

Next review: August 2018.

Appendix 1

Schedule of appraisals

Appraiser	Appraisee
Managing Director	Principal
Principal	Heads of department
	1st year and 2nd year A level Humanities Staff
Head of Art	All Art related staff
Head of Science	All Science related staff
Head of Humanities	Humanities Foundation Staff