

## **CAPABILITY PROCEDURE FOR TEACHERS**

### **Contents**

<b>Section 1</b>	<b>Introduction</b>	<b>Page 2</b>
<b>Section 2</b>	<b>Links to other policies</b>	<b>Page 3</b>
<b>Section 3</b>	<b>Performance Framework</b>	<b>Page 3</b>
<b>Section 4</b>	<b>Capability Meeting</b>	<b>Page 4</b>
<b>Section 5</b>	<b>Capability Review Meeting</b>	<b>Page 5</b>
<b>Section 6</b>	<b>Final Capability Review meeting</b>	<b>Page 6</b>
<b>Section 7</b>	<b>Dismissal Meeting</b>	<b>Page 7</b>
<b>Section 8</b>	<b>Appeals Process</b>	<b>Page 8</b>
<b>Section 9</b>	<b>Policy Monitoring Implementation Form</b>	<b>Page 9</b>
<b>Section 10</b>	<b>Equality and Diversity</b>	<b>Page 9</b>
<b>Section 11</b>	<b>Income Tax and National Insurance</b>	<b>Page 9</b>

**Appendix 1 - Example Letters**

**Appendix 2 - Procedure at Dismissal Meeting**

**Appendix 3 - Procedure at the Appeal meeting**

**Appendix 4 - Flow Chart**

## **CAPABILITY PROCEDURE FOR TEACHERS**

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### **1.0 INTRODUCTION**

- 1.1 Subjection to adoption by the Governing Body, this procedure applies to Teaching employees including those employed on the Leadership Scale i.e. Headteachers, Deputy Headteachers and Assistant Headteachers about whose performance there are serious concerns that the appraisal process has been unable to address. It applies to both qualified and unqualified Teachers.
- 1.2 Capability matters involving Newly Qualified Teachers in their statutory induction period will normally be dealt with through induction procedures. However, in particular serious cases, where it is apparent that the education of children being taught by the NQT is being seriously affected, the Headteacher will consider instigating the Teachers Capability procedure at any stage before the end of the induction period which may lead to dismissal before the end of the induction period. If this is the case, for as long as the NQT remains at the school, the induction procedure continues in parallel with the capability procedure.
- 1.3 The term '**Teacher**' throughout this procedure can mean any employee employed in accordance with Teachers Conditions of Service either in a locally managed school or centrally employed within the LA.
- 1.4 The term '**Manager**' throughout the procedure is a generic term and refers to the most appropriate Manager to manage a capability issue. It could mean Headteacher, Deputy Headteacher or Assistant Headteacher in a locally managed school.
- 1.5 Where the capability of a Headteacher is causing concern the Manager in this procedure will be the Chair of Governors.
- 1.6 Lack of capability is defined as a situation in which a Teacher fails consistently to perform their duties to a professionally acceptable standard.
- 1.7 The procedure seeks to encourage a constructive, fair and consistent approach. It also seeks to ensure that Teachers are given adequate opportunity for improvement and the performance standards required for improvement are made explicit.
- 1.8 The move from the normal/structured process for appraisal to capability procedure should occur when a judgment has been made regarding the quality of teaching of an individual and their potential capacity to improve.
- 1.9 As part of the normal management procedures there will already be systems in place for the general monitoring of performance. This is not dealt with as part of this procedure. This should be part of the normal system of monitoring, support and development which should take place. It is only when the normal appraisal process has been exhausted and is no longer appropriate that the Capability Procedure should be considered.

The purpose of any action taken under the procedure is threefold:

- a) To provide support to help a Teacher overcome any difficulties and identify areas required for improvement in performance.
- b) To monitor performance, record progress and, if performance does not improve to a satisfactory level, to take steps which could lead to dismissal.

- c) To consider whether there are any latent reasons for the difficulties (i.e. health, other personal reasons, the work environment) and to take mitigating action where appropriate.
- 1.10 Employees who are on maternity leave/adoption leave will have this process suspended during their absence and the process will recommence at the same stage on their return to work after a period of not less than 4 weeks after the date of return.
- 1.11 Sickness absence should be treated sympathetically and in accordance with the Councils/ Schools absence management policy, including referral to Occupational Health where appropriate. However, such absences should not impede unduly on the capability procedure. Where sufficient evidence in relation to unsatisfactory performance is available, meetings may proceed in the Teacher's absence. In such cases a full account of any evaluation of the Teacher's performance should be provided in a letter to the Teacher confirming the decisions taken. Full consideration must be given to any written submission made by or on behalf of the Teacher.
- 1.12 Reasonable steps should be taken to enable the Teacher to attend formal meetings and hearings. Any Teacher claiming inability to attend on health grounds will be assessed by an Occupational Health Physician in order to determine that; he/she is physically/mentally incapable of attending and/or that she is unable, on the grounds of physically/ mental incapacity, to participate reasonably in the proceedings.

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## 2.0 **LINKS TO OTHER POLICIES**

- 2.1 Where poor performance is due to a failure to maintain acceptable standards of behaviour or misconduct then this should be dealt with through the [Disciplinary Procedure](#).
- 2.2 Where poor performance is linked to health issues then reference should be made to the [Managing Attendance Policy](#)
- 2.3 Where poor performance is related to a disability as defined under the Equalities Act then consideration must be given to any reasonable adjustments which can be made to the work place or job role. Further guidance is available in the [Supporting Disabled Employees at Work Policy](#).
- 2.4 Where poor performance is linked to issues relating to bullying, harassment or victimisation then reference should be made to the [Dignity at Work \(Bullying, Harassment and Victimisation\) Policy](#).

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## 3.0 **PERFORMANCE FRAMEWORK – TRANSITION TO CAPABILITY PROCEDURE**

- 3.1 The Policy for Teacher Appraisal - A Model Policy for Schools sets out a framework for a clear and consistent assessment of overall performance against the professional standards expected of qualified Teachers within the context of the school improvement plan.
- 3.2 The process for the appraisal and management of Teacher performance will be the informal stage prior to moving onto the formal capability procedure for Teachers.
- 3.3 If the appraiser is not satisfied with progress, the Teacher will be notified in writing that the

appraisal system will no longer apply and that their performance will be managed under the capability procedure, and will be invited to a formal capability meeting (as detailed at 4.1.2).

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#### 4.0 **CAPABILITY MEETING**

4.1 The first meeting initiates the formal stage of the capability procedure. It provides an opportunity to deal with more serious problems in a structured way. It allows the Teacher to prepare a response to allegations about performance.

4.1.1 The Manager should make the following arrangements for a meeting with the Teacher:

- Arrange for a more Senior Manager to hear the case, if the Headteacher has already been involved then this should be the Chair of Governors. If the Chair of Governors is presenting a case in respect of the Headteacher then another Governor should hear the case.
- Arrange a date for the meeting giving 5 working days notice in writing informing the employees of their right to representation by a trade union or professional association representative or work colleague and to request the Teacher to submit any documents at least 3 days prior to the meeting date . ([Example Letter 1](#)).
- Arrange suitable accommodation for the meeting.
- Provide a copy of the policy.
- Provide supporting documentation that the Manager intends to refer to at the meeting.

4.1.2 At the meeting, the Senior Manager/Governor will chair the meeting and the procedure will be as follows:

- The Manager will present their case detailing concerns regarding performance shortcomings including supporting evidence (this may include input from other parties i.e. advisors/school evaluation officers).
- The Teacher and his/her representative will be given the opportunity to respond to the concerns and, where appropriate, may call for supporting evidence from other parties.
- The meeting may at anytime be adjourned by the Chair for example if they decide that further investigation is needed, or that more time is needed in which to consider any additional information.

4.1.3 The outcome of the meeting, should be one of the following two options:

##### Option one

If the Chair concludes 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 then the capability procedure will come to an end and the Teacher will re-enter the normal cycle of performance monitoring. This should be confirmed in writing.

##### Option two

If the Teacher's performance is not meeting the required standards then the remainder of the meeting should be used to:

- Identify the professional shortcomings, *for example which of the standards expected of the Teacher is not being met;*
- Give clear guidance on the improved standard of performance needed to ensure that the Teacher can be removed from the 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 Teacher improve their performance;
- Set out the timetable for improvement and explain how performance will be monitored and reviewed.

The Chair will also inform the Teacher that they are issuing a **Written Warning** which will remain in place for the duration of the assessment period. ([Example Letter 2](#)). **In very serious cases where the education of pupils is in jeopardy this warning could be a [Final Written Warning \(Example letter 4\)](#). An example of this might be where a Teacher's classroom control is so poor that no order can be established to enable teaching to take place.**

Notes will be taken of the formal meetings and a copy sent to the Teacher.

4.1.4 The Teacher will have a right of appeal against this decision (see section 8).

#### 4.2 **Assessment Period**

##### 4.2.1 **Weeks 1 - 4 (minimum period)**

During this period, which may be extended to allow further opportunity for improvement or to take account of individual circumstances, there should be regular observation, monitoring and evaluation of performance with guidance, training and support as agreed at the conclusion of the formal meeting.

4.2.2 Following the assessment period a **Capability Review Meeting** should be arranged to coincide with the end of the assessment period as detailed in section 5.

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### 5.0 **CAPABILITY REVIEW MEETING**

5.1 The Teacher should be invited to a Capability Review Meeting, **unless** they were issued with a Final Written Warning, in which case they will be invited to a Final Capability Review Meeting as detailed in Section 6).

5.2 The meeting should be chaired by the same Senior Manager/Governor. It is advisable that time frames be agreed in advance by all parties.

The Manager should make the following arrangements for a meeting with the Teacher:

- Arrange a date for the meeting giving 5 working days notice in writing informing the employee of their right to representation by a trade union or professional association representative or work colleague ([Example Letter 3.](#))

- Arrange suitable accommodation for the meeting.
- Provide a copy of the policy.
- Provide supporting documentation that the manager intends to refer to at the meeting.

5.2.1 At the meeting, the Senior Manager/Governor will chair the meeting and the procedure will be as detailed at 4.1.3.

5.2.2 The outcome of the review meeting should be one of the following:

- If all actions identified have been implemented and an acceptable standard of performance has been achieved, the capability procedure will end and no further action needs to be taken. This should be confirmed in writing.
- If performance remains unsatisfactory, a **Final Written Warning** should be issued. Monitoring, evaluation, guidance, training and support should continue for a further assessment period. Arrangements for this should be explained at the meeting. The Teacher must be told clearly that failure to achieve an acceptable standard, with confidence that it can be maintained, may result in dismissal. The decision and main points of the meeting should be recorded in the letter ([Example Letter 4](#)) and a revised Action Plan.

5.2.3 The Teacher will have a right of appeal against this decision (see section 8)

### 5.3 **Assessment Period**

#### 5.3.1 **Weeks 1 - 4 (minimum period)**

During this period, which may be extended, to allow further opportunity for improvement or to take account of individual circumstances, there should be regular observation, monitoring and evaluation of performance with guidance, training and support as agreed at the conclusion of the formal meeting and as detailed in the revised Action Plan.

5.3.2 Following the assessment period a **Final Capability Review Meeting** should be arranged to coincide with the end of the assessment period as detailed in section 6 - Final Capability Review Meeting.

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## 6.0 **FINAL CAPABILITY REVIEW MEETING**

6.1 The meeting should be chaired by the same Senior Manager/Governor. It is advisable that time frames be agreed in advance by all parties.

6.1.2 The Manager should make the following arrangements for a meeting with the Teacher:

- Arrange a date for the meeting giving 5 working days notice in writing informing the employee of their right to representation by a trade union or professional association representative or work colleague and to request the Teacher to submit any documents at least 3 days prior to the meeting date ([Example Letter 5](#)).
- Arrange suitable accommodation for the meeting.
- Provide a copy of the policy.
- Provide supporting documentation that the Manager intends to refer to at the meeting including details of any witnesses.

6.1.3 At the meeting, the Senior Manager/Governor will chair the meeting and the procedure will

be as detailed at 4.1.3.

6.1.4 The outcome of the review meeting should be one of the following:

- If all actions identified have been implemented and an acceptable standard of performance has been achieved, the capability procedure will end and no further action need be taken. This should be confirmed in writing.
- If performance remains unsatisfactory the employee should be told that the matter will be referred to an appropriate panel of Governors who have been delegated the function to dismiss in accordance with the Staffing Regulations 2009. The Teacher should also be informed that they are suspended from work on full pay. The result of the assessment and main points of the meeting should also be recorded in a letter to the Teacher. [\(Example Letter 6\).](#)

6.1.5 There is no right of appeal at this stage as the matter has been referred to a panel.

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## 7.0 **DISMISSAL MEETING**

7.1 The panel must consist of individuals who have had **no** prior involvement in the case.

7.1.2 The Manager/Governor must write to the Teacher giving at least 5 working days notice of the meeting. [\(Example Letter 7\)](#) The letter should include:

- Date, time and venue.
- Identify panel members.
- Inform them of their right to representation by a trade union or professional association representative or work colleague and to request the Teacher to submit any documents at least 3 days prior to the meeting date.
- An outline of the key concerns.
- Copies of any supporting documentation including supporting evidence/Action Plans (this may include input from other parties as witnesses i.e. Advisors/School Evaluation Officers).
- Copy of the procedure.
- Advise the employee that the meeting could result in their dismissal.

7.1.3 The Manager/Governor should arrange for the meeting to be recorded.

7.1.4 Both management and the Teacher will be entitled to call upon relevant witnesses, but the number of these will be kept to a minimum, consistent with a fair hearing of the case.

7.1.5 The procedure to be followed at the meeting is outlined at [Appendix 2.](#)

7.1.6 The panel will consider all the evidence and determine the course of action from the following possible outcomes:

- To recommend that no further action is required as the concerns are unsubstantiated.
- To lift the suspension, extend the Final Written Warning and timescale for improvement to allow a further period to monitor and review (not exceeding 4 further weeks).
- To recommend dismissal (with Statutory Notice up to 12 weeks paid).

- 7.1.7 The decision will normally be given verbally to the employee at the meeting and confirmed in writing, usually within 5 working days. Where the panel require a significant amount of time to give full consideration to all the evidence presented, it may be necessary for the outcome to be communicated in writing as soon as possible after the meeting. [\(Example Letter 8\)](#).

The employee will have a right of appeal against this decision (see section 8).

7.1.8

### **Post-Dismissal**

7.2

The school will consider whether or not to refer to the Teaching Agency any Teacher it

- 7.2.1 dismisses for serious misconduct and any Teacher it may have so dismissed if the Teacher had not resigned first.

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## **8.0 THE APPEALS PROCESS**

- 8.1 Where a Teacher has been subject to a Capability Review (excluding final) Meeting or a Dismissal Meeting as outlined in section 4, 5, and 7 they have a right of appeal against the outcome, which shall be exercisable in accordance with the criteria set out in this procedure. In order to appeal the Teacher must inform the Chair in writing of their wish to appeal within 14 days of receipt of the letter confirming the outcome of the meeting.
- 8.2 The process will continue until an appeal has been received, at which point an assessment period would be put on hold until the outcome of the appeal is known.
- 8.3 The Manager/Governor should make the following arrangements for the Appeal Meeting;
- Identify the Appeals Panel.
  - Arrange a suitable date for the Appeal, ensuring that the Chair of the previous Formal Performance Meeting/Dismissal Meeting is available to co- present the case with the Manager along with any witnesses.
  - Arrange suitable accommodation.
  - Arrange for the meeting to be recorded.
  - Liaise with the Chair of the previous performance/dismissal meeting to collate the supporting documentation and to prepare management's case.
- 8.4 The Appeal Panel should be an appropriate panel of Governors who have been delegated the function in accordance with the Staffing Regulations 2009. The panel must consist of individuals who have had **no** prior involvement in the case.
- 8.5 The appeal will be conducted as a review of the first instance decision, having regard to the matters set out in the grounds of appeal and statement of the Chair of the Formal Capability Review Meeting or the Dismissal Committee. Both parties may address the appeals committee summarising the key aspects of their case.
- 8.6 The panel will have received and read the statement of case and all witness statements of both parties submitted prior to the meeting. Witnesses will not normally be required to present evidence but will be available to be questioned should this be required.
- 8.7 The Appeal shall normally be conducted on one day except in exceptional circumstances.
- 8.8 The Manager/Governor must write to the Teacher giving at least 5 working days notice of the Appeal meeting. [\(Example Letter 9\)](#)



- 8.9 The process outlined in the [Procedure at the Appeal Meeting \(Appendix 3\)](#) should be followed.
- 8.10 The Appeal Panel has the authority to confirm, reduce, increase or revoke the original outcome. The decision of the Appeals Panel is final.
- 8.11 Where possible, the decision will normally be given verbally to the employee at the conclusion of the meeting and confirmed in writing, within 5 working days [Example Letter 10](#). However it may be necessary to communicate the outcome in writing. All parties should be advised of any changes to the method of communication and extension to timescales at the closure of the meeting.

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### 9.0 **POLICY IMPLEMENTATION MONITORING FORM**

- 9.1 At all stages of this procedure Managers/Headteachers must complete and submit a [Policy Implementation Monitoring Form](#) in order that this information can be recorded on SAP.

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### 10.0 **EQUALITY AND DIVERSITY**

- 10.1 This policy has been impact assessed by Human Resources, if on reading this policy you feel there are any equality and diversity issues, please contact your Directorate Human Resources Advisor who will if necessary ensure the policy is reviewed.

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### 11.0 **INCOME TAX AND NATIONAL INSURANCE CONTRIBUTIONS**

- 11.1 There are no tax or national insurance implications arising from this report.

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