

Capability Procedure

DOCUMENT CONTROL

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Please note that a record of the changes made to the original issue of this document can be found at Schedule 1 after any Appendices to the Policy/Procedure.

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1. INTRODUCTION

Cumbria Education Trust (the Trust) has adopted this procedure. Consultation with the recognised unions has been carried out by the LA on behalf of schools that adopted the original version of this procedure. Subsequent amendments and updates have been implemented following consultation with employees, trade union representatives, and staff representatives where appropriate.

2. PURPOSE AND PRINCIPLES

2.1 This procedure, which sets out the Trust's formal capability procedure for employees in cases where there are serious concerns that support through the appraisal process has been unable to address.

2.2 Arrangements for managing teacher performance were introduced by the Department of Education, effective from 1 September 2012, and this procedure is compatible with those arrangements.

3. SCOPE

This procedure applies to all Trust employees other than newly qualified teachers who have their performance managed through the Induction Process for NQTs.

4. POLICY OWNER

Head of Human Resources.

5. KEY RESPONSIBILITIES/DELEGATED AUTHORITIES

Responsibility	Responsibility Holder
Capability Warnings	CE or designated senior managers
Capability Dismissals	CE or designated senior managers or Trust Board Members (for CE)

6. POLICY STATEMENT

It is the policy of the Trust to provide all employees with appropriate and effective guidance, training, and advice relevant to their career stage throughout their employment with the Trust. Where there is a cause for concern about an employee's performance and this cannot be addressed by the normal support through the appraisal process, the capability policy will then apply.

7. PROCEDURES/PROCESS

7.1 The Trust recognises that a Headteacher/other nominated senior manager may have occasion, as part of the normal day-to-day management function, to draw the attention of an employee to inadequacies in performance without having recourse to the formal procedure

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set out below. Such action may include the use of advice or admonition without giving rise to doubts as to the employee's capability. Good management, clear expectations, and appropriate support will go a long way towards addressing weaknesses in performance. Early identification of problems through performance review will help to avoid the need for formal capability procedures. In some cases, an improvement may be achieved informally with a minimum of support and attention. In others a more formal approach will be necessary.

- 7.2 The timescale, which will depend on the circumstances of the case will be reasonable and proportionate and will provide sufficient opportunity for improvement to take place. The length of time required will depend on the concerns raised with the employee, the nature of any support and training required and the time it will take for performance to show improvement.
- 7.3 The Headteacher or another senior nominated manager should take the lead at each stage of the procedure and reach the decision as to whether it is appropriate to proceed to the next stage. However, it may be appropriate for informal review meetings and certain aspects of support to be delegated to other senior staff. The responsibility and role of any employee involved in the process, at any particular stage, should be made clear.
- 7.4 No formal capability action shall be taken against an employee who is a recognised trade union official (including safety and learning representatives) until the circumstances of the case have been discussed with a full-time officer of the trade union concerned.
- 7.5 An employee will be afforded the opportunity to be accompanied by a trade union representative or work based colleague at any formal review meeting, hearing or appeal. If the employee's chosen companion is not available at the time proposed for the interview, meeting or hearing, and the employee proposes an alternative that is reasonable and falls within five working days of the day proposed for the interview, and other participants are available, the meeting should be rearranged to the time proposed by the employee.
- 7.6 Notice of a minimum of five working days must be given for all meetings and an exchange of any papers which may be referred to at such meetings should take place at least five working days before the meeting.
- 7.7 It is important that appropriate support and training are provided for all staff, particularly where new responsibilities or changed working practices are introduced. It is recognised that financial provision for training generally is limited. However, priority should be given in the allocation of resources where concerns about capability are identified and where training is considered to be necessary. A record of training and support offered in this respect should be kept and the impact of training should be evaluated and reviewed. Those monitoring the performance should offer feedback and instruction to help the employee's performance. If training courses or assistance from colleagues would be helpful these should be arranged as soon as possible but should not interrupt the timing of the procedure.
- 7.8 Within the monitoring and support programme the support mechanisms should be made clear, including how and when these will be implemented. It will be necessary to determine these depending on the circumstances. However, the following are suggested areas for inclusion, as appropriate:

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- observations of best practice/working with other staff in an academy/appropriate workplace;
- observations/visits to other schools/academies;
- in-service training;
- work-sharing or team teaching;
- visit from appropriate specialist advisers, e.g. specialist teachers, school improvement partners etc.

General

- formal short courses on specified areas of concern;
- development time to improve knowledge in areas of concern;
- assigning a mentor not involved in the monitoring process;
- counselling;
- volunteering to temporarily relinquish additional responsibilities and associated payments;
- a modified workload or timetable for a specified period;
- directed self-managed study.

7.9 Monitoring should include observations of a range of relevant duties and functions. An objective record of the monitoring should be kept and used to assist with the evaluation of performance.

7.10 A written note should be made of all formal interviews with the employee, and any action taken following such an interview. A copy will be given to the employee promptly. If the employee disagrees with the content of the written records they may respond, where their concerns are not met a copy of their submission will be attached to the official record.

Staff who are absent through illness during the procedure

7.11 Absence which is triggered by the capability procedure, and which management reasonably believe is likely to be long term, should be referred immediately to the Trust's Occupational Health Adviser to assess whether participation in meetings would be detrimental to health or whether they are fit for continued employment and participation in meetings.

7.12 Short absences should not delay any part of the formal stage of the capability procedure. Reasonable steps should be made to enable the employee to attend evaluation meetings, but where the employee is unable to attend, these may proceed in the employee's absence if delay would otherwise compromise the efficient application of the procedure. In such circumstances a full account of the evaluation should be provided in the letter to the employee confirming the decision taken.

7.13 The Trust may call upon advice from the Trust's Occupational Health Adviser at any stage where an employee is seeking a postponement of a hearing to consider their dismissal. In addition, the employee may also arrange for medical advice to be made available to the Headteacher/appropriate senior manager from their doctor or other medical source.

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- 7.14 If a decision is made to convene a capability meeting in the absence of the employee, (there should have been at least one postponement) the employee and their representative shall be given the appropriate notice in writing, together with all relevant papers. The notification shall include an indication that the hearing will be convened whether or not the employee is able to attend, and that they may be represented at the hearing in the normal way. The panel of three convened to hear the case will, if the employee or their representative so request, consider whether it is reasonable, exceptionally, to proceed in the employee's absence. A representative of the employee may attend and speak at such a hearing. The procedure for the capability meeting would be as given at Appendix 1.

Normally the decision to continue a capability procedure or recommend dismissal should be taken by the CE, or other appropriate senior manager (except where the CE, or other appropriate senior manager's performance is being considered).

Disputes about the procedure

- 7.15 Any disagreements or grievances about the interpretation of the Procedure, or the application of any related matters not covered in the Procedure, must not delay the various elements of the capability process or the overall timetable determined as appropriate for handling any particular case.

Appeals

- 7.16 Appeals may be heard by the CE (if the CE is not leading the capability process) or an appeal board of members of the relevant Trust Board committee. If the CE is leading the capability process or is the subject of it, the relevant Trust Board appeal committee will hear the appeal. Appeals should normally be restricted to considering the reasonableness of the decision made, any relevant new evidence, or any procedural irregularities. An employee is entitled to be accompanied at an appeal hearing by a trade union representative or work based colleague. The appeal decision should be confirmed in writing within five days of the appeal hearing and the employee told that there is no further appeal against the decision. Where an appeal is upheld, the matter should be referred back to the Headteacher or appropriate senior manager to be reconsidered or for further appropriate action. Where monitoring would otherwise be continuing, it should not be halted while an appeal is pending.

Grievances

- 7.17 In certain circumstances an employee may raise a grievance during the course of a capability procedure. Depending on the circumstances it may be appropriate to suspend the procedure or bring in another manager to deal with it until the grievance can be considered. Delay to the capability procedure is not necessary where the grievance and capability processes are able to run concurrently.
- 7.18 If an employee raises a grievance, in writing, about the way in which a manager handled a capability case or conducted the investigation/monitoring of the capability procedure it will be investigated. The outcome may be discussed at the same time as any formal meeting under the capability process i.e. the meeting would have a dual purpose.

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8. THE CAPABILITY PROCEDURE

- 8.1 This procedure applies only to those employees whose performance concerns have not been able to be addressed by the appraisal process.
- 8.2 The purpose of a capability procedure is to raise the performance of the employee to a point where they can achieve a sustained level of performance consistent with recognised professional or career level standards and the reasonable operational requirements of the Trust. Where there are concerns regarding an employee as to their capability to carry out to the work he or she is engaged to perform to a satisfactory standard, it is important that this is drawn to their attention as soon as is reasonably possible in accordance with the review stages contained in the Trust's Appraisal procedures. In most cases a formal capability meeting will be held following a referral of the employee from a transition meeting held under the employee appraisal procedure.
- 8.3 At least five working days' written 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 employee 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 employee 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.

Formal Capability Meeting

- 8.4 This meeting is intended to establish the facts. It will be conducted by the following:
- Chair of the Trust Board for the CE
 - The CE for SLT Directors and equivalent other senior managers.
 - The CE (or designated Senior Manager) for Headteachers or equivalent other senior managers.
 - The Headteacher or appropriate senior manager for all other employees.
- 8.5 The meeting allows the employee, 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.
- 8.6 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.
- 8.7 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:

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- identify the professional shortcomings, for example which of the standards expected of teachers are not being met/career and job based standards for non-teaching staff including managerial responsibilities;
- give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures (this may include the setting of a proportionate number 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 the support that will be available to help the employee 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 must not be less than 5 weeks. It should be reasonable and proportionate, but not excessively long, and should provide sufficient opportunity for an improvement to take place; and
- warn the employee formally that failure to improve within the set period could lead to dismissal.

8.8 In very serious cases, this warning could be a final written warning.

8.9 Notes will be taken of formal meetings and a copy sent to the member of staff promptly. Where a warning is issued; the employee 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

8.10 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).

8.11 At least five working days' written notice of the review meeting will be given, and the notification will give details of the time and place of the meeting and will advise the employee 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.

8.12 If the person conducting the review meeting is satisfied that the employee 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 employee will receive a final written warning.

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As before, notes will be taken of formal meetings and a copy sent to the employee promptly. Where a final warning is issued, the employee 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 employee will be invited to a decision meeting.

Decision meeting

- 8.13 As with formal capability meetings and formal review meetings, at least five working days' written notice will be given and the notification will give details of the time and place of the meeting and will advise the employee 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.
- 8.14 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 CE, or the case of the CE, the relevant Trust Board committee, will be made that the employee should be dismissed unless any alternative, such as redeployment, is appropriate.

Suspension

- 8.15 In extreme cases where it is considered that the education or safety of pupils/students or integrity of the Trust's business operations is in jeopardy, an employee who has failed to reach the required standard within the timescale for improvement, may be suspended by the CE/Chair of the Trust Board pending the decision on any action which might be taken. Before suspension is imposed, provided no delay is caused in the process, the employee shall be entitled to be accompanied by their trade union representative or colleague. During any period of suspension, the employee will be paid their full salary.

Recommendation to Dismiss

- 8.16 The employee shall be called to a meeting with the CE (or designated senior manager).
- 8.17 The employee shall be given not less than ten working days' notice in writing of the date, time and place of the meeting, the nature of the complaint and informed that they have the right to be accompanied at the meeting by a representative of their trade union or colleague.

At the meeting, the complaint against the employee shall be formally presented and the employee and their representative shall be given the opportunity to ask questions relative to the complaint, to state their case and to call witnesses. The procedure to be adopted at the meeting is set out in Appendix 1.

- 8.18 A Trust HR representative shall normally be present, for the purpose of giving advice, at all stages when a dismissal is being considered. The CE shall consider such advice before coming to a decision on the matter.

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- 8.19 The outcome of the meeting must be confirmed in writing to the employee concerned within five working days, stating the reasons for the decision and in the case of dismissal, the right to lodge an appeal within ten working days.

Appeal

- 8.20 If an employee feels a decision to dismiss them or other action taken against them is wrong or unjust, they may appeal. The appeal shall be made by the employee or their trade union representative or colleague, in writing, to the Clerk to the Trust Board within ten working days of receipt of the written confirmation of the warning/dismissal, stating the grounds of appeal. The appeal shall be heard as soon as possible thereafter, and neither the CE or other appropriate senior manager issuing the original sanction (in the case of another employee), nor the Chair of Trust Board (in the case of the CE) shall take part in the appeal other than to present the case or act as a witness.
- 8.21 An Appeal Panel of the relevant Trust Board committee shall be constituted from those Trust Board members who are not otherwise disqualified from hearing the appeal, by virtue of their membership of other panels in the process, or their involvement in the case as a witness, or in any material sense. At any meeting of the Appeal Panel, which is to hear an appeal against dismissal, a representative of the Trust's HR Provider shall normally be present, throughout the appeal hearing for the purpose of giving advice. The Appeal Panel shall consider such advice before coming to a decision on the matter.
- 8.22 The employee shall be given not less than five working days' notice in writing by the Clerk to the Trust Board of the date, time and place of the appeal hearing and informed of their right to be accompanied by a trade union representative or work based colleague. The procedure to be adopted at the hearing is set out in Appendix 1 of this document. The decision on the appeal shall be confirmed to the employee in writing.
- 8.23 With regard to an earlier decision to dismiss an employee, if the decision of the Appeals Panel is that the employee concerned should not cease to work for the Trust, the Trust will issue a letter rescinding the earlier letter of dismissal to the employee.
- 8.24 The employee will be informed in writing of the results of the appeal hearing within 5 days of the hearing.

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Procedure at Capability Meetings and Appeal Hearings

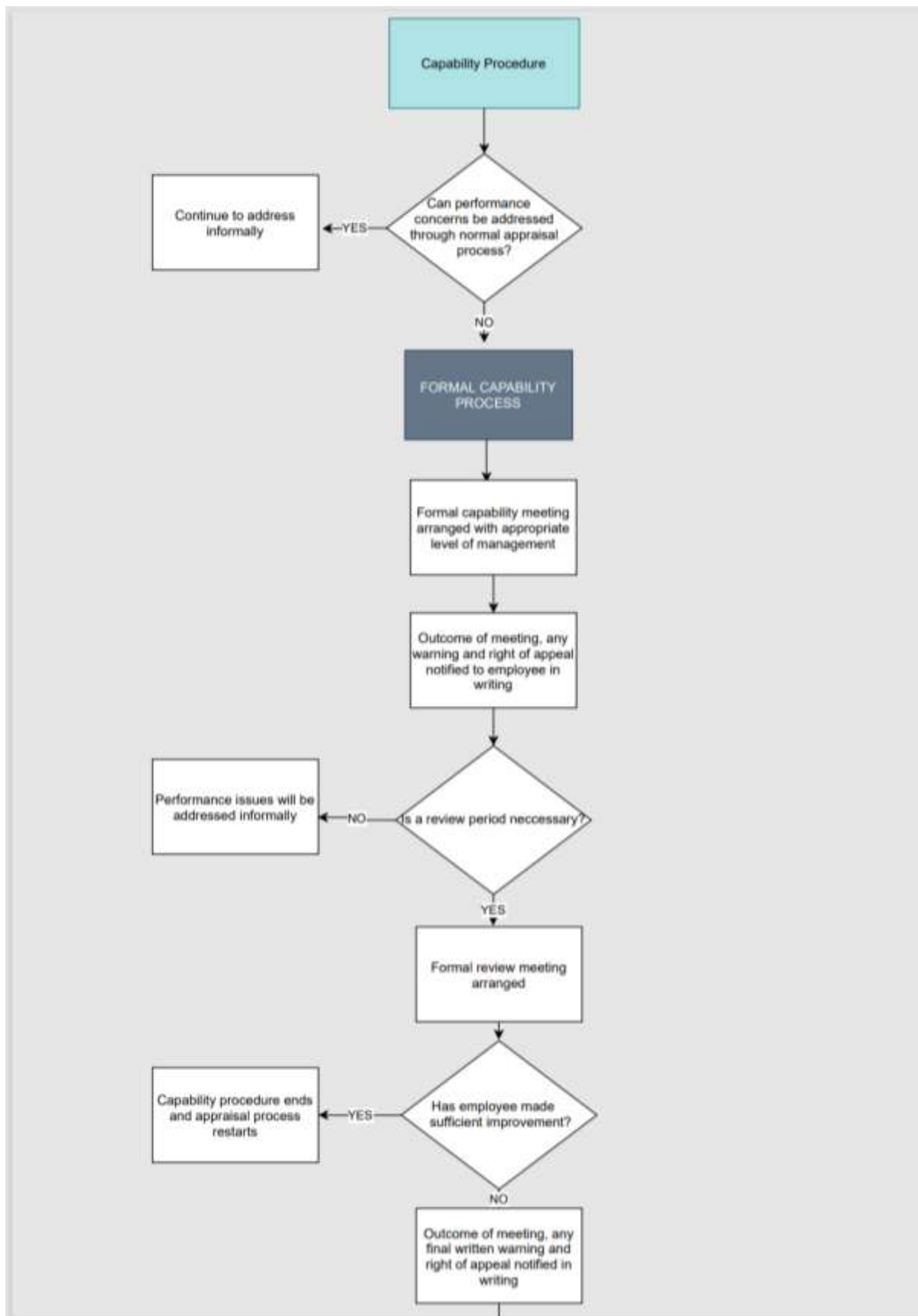
Capability Meetings/Appeal hearings against a capability dismissal or appeals against a capability warning will be heard in accordance with the following procedure. Please note that in the case of an appeal the employee and/or their representative will be invited to present their case before the management representative responds.

1. The CE, or other appropriate senior manager /Panel of the Trust Board and their HR representative, along with the employee and their representative will be present at the commencement of the hearing/meeting. (Any period set aside for the panel members only to familiarise themselves with documentation is not part of the hearing/meeting)
2. The person chairing the hearing/meeting will introduce those present, giving names, job titles, and roles (whether advisory or decision-making) and advising that notes will be taken of the proceedings for the record and to assist in the reaching of a conclusion.
3. The chair will explain the purpose of the hearing/meeting, and the procedure which will be followed in accordance with this Appendix. Witnesses shall be present only whilst they are being examined and must not be allowed to confer. Witnesses may be accompanied but not represented at the hearing/meeting. Any questions of procedure not explicitly covered by this document shall be determined by the chair.
4. The presenter will confirm the allegations, report the outcome of the procedure, call witnesses and introduce other documentary evidence to the panel.
5. The employee and/or representative will be invited to ask questions on the case as presented, or directly to re-examine the evidence given by any witnesses.
6. The chair will have the opportunity to ask questions or clarify any issues raised during this presentation, or to re-examine witnesses.
7. The employee and/or representative will be invited to present evidence in their case, including making a full statement and introducing any witnesses or documentary evidence.
8. The presenter will be invited to ask questions on the case as presented, or directly to re-examine the evidence given by any witnesses.
9. The chair will have the opportunity to ask questions or clarify any issues raised during this presentation, or to re-examine witnesses.
10. Both parties will be invited to make their closing statements, with the employee/employee representative making the final statement
11. All parties will be asked to withdraw except the HR representative attending to advise or the person taking notes of the proceedings.

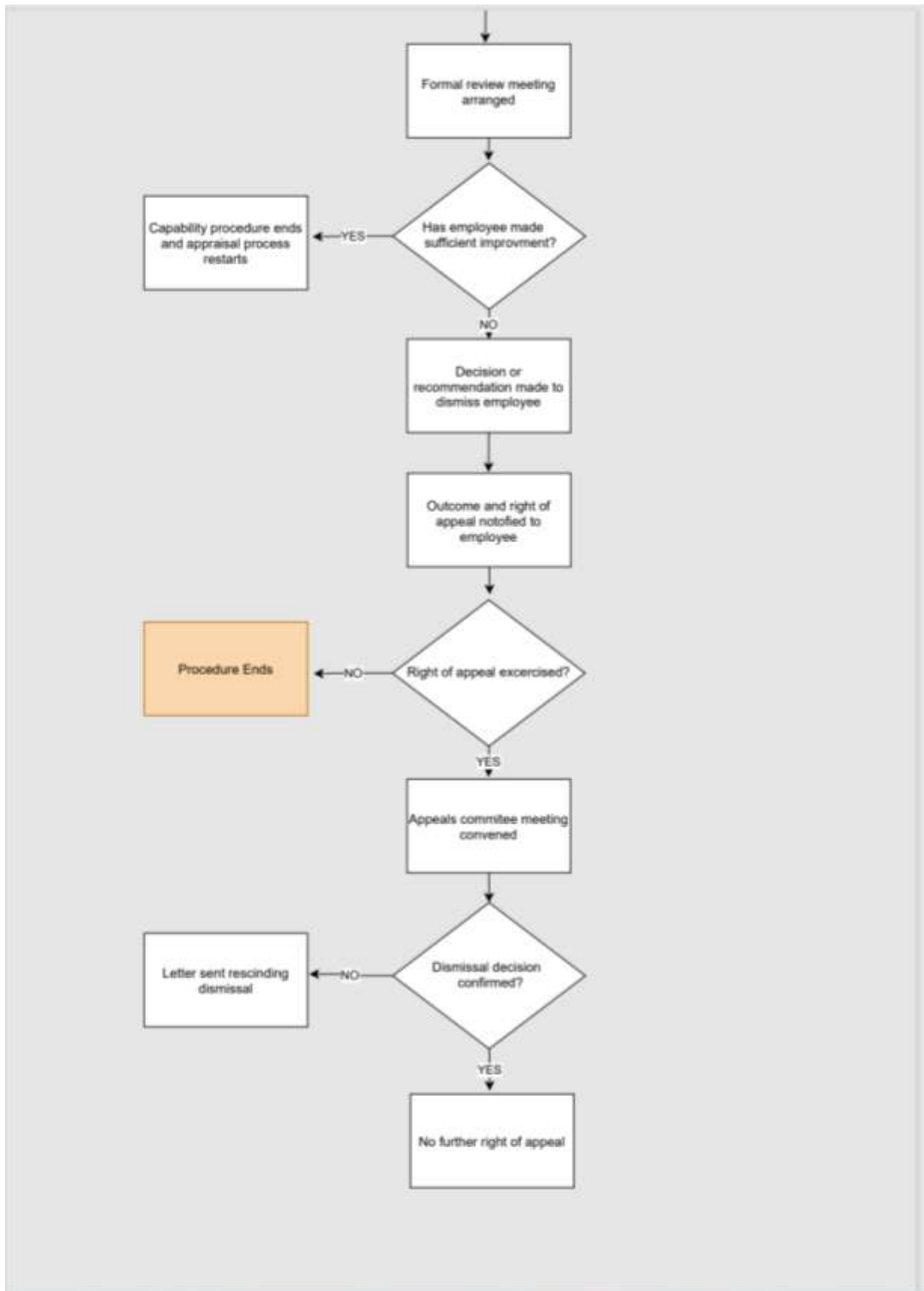
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12. The presenter, employee and their representative may be recalled to clarify any points of uncertainty on evidence already given. If recall is necessary, both parties will return, irrespective of the point of clarification sought.
13. The chair/panel will decide whether the proposal to issue a warning/dismiss is upheld or whether or not an appeal should be upheld.
14. The chair's/panel's decision will be communicated to the employee concerned within three working days setting out the decision of the panel and the reasons for the conclusion. Written confirmation will follow within 5 working days.
15. In cases of gross incompetence consideration should be given to reporting the circumstances in future references to prospective employers in line with the advice of the Secretary of State for Education contained in published guidance on teachers' performance.

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DOCUMENT CONTROL – RECORD OF CHANGES

Version Number:	Publication Date:	Nature of, and Reason for, Change(s)
001	March 2020	General review. Adjustments to ensure policy applies to all Trust employees. Ensure correct references are made in line with appropriate management delegated authorities.
002	November 2021	General review – Minor amendment for clarification purposes.
003	January 2023	General review – Minor amendment in light of changes to CET structure / Inclusion of Flow Chart.
---	June 2026	Reviewed and no changes required.

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