



# Appraisal, Performance Management and Capability Policy

## UTC Cambridge

Lead member of SLT: HR/Business manager  
Sub-committee: Chair of Full Governing Body

### Legislation

Employment Rights Act 1996  
Employment Relations Act 1999  
Equal Pay Act 1970  
Equalities Act 2010  
Teachers Pay & Conditions 2014  
The Part-time workers (Prevention of Less Favourable Treatment) Regulations 2000  
The Fixed-term Employees (Prevention of Less favourable Treatment) Regulations 2002

### Associated documentation

UTC Cambridge Disciplinary and appeals policy  
UTC Cambridge Equality and Diversity policy  
UTC Cambridge Pay & Reward policy

### UTC Cambridge Vision

UTC Cambridge: Delivering Future Scientists

### UTC Cambridge Mission

Through an innovative curriculum, developed with leading scientists from industry and academia, UTC Cambridge builds bespoke learning solutions delivered in a state of the art science and technology environment that empowers students to manage their academic and career development.

### UTC Cambridge Values

We set ourselves challenging goals, are agile and resilient, to achieve our personal best.  
By respecting one another we enhance our experience and benefit from different perspectives.  
We take individual responsibility, ensuring team delivery.  
By respecting our environment, our world, we make a difference.  
We celebrate positive contribution and aspire to excellence.  
We are morally and ethically responsible in scientific and environmental innovation.

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## 1. Definitions

- 1.0 The term “Executive Principal” also refers, where appropriate, to any other title used to identify the Executive Principal
- 1.1 The term “Principal” also refers, where appropriate, to any other title used to identify the Principal.
- 1.2 The term “employee” refers to any member of the UTCC staff employed to work solely at UTCC, including the Principal and Executive Principal.
- 1.3 The term “senior manager” refers to any member of the Leadership Team, as defined by UTCC, or a senior support employee in cases involving support staff, delegated by the Executive Principal to deal with an appraisal and/or capability matter under these procedures. A senior manager may only issue a sanction up to and including a final written warning.
- 1.4 If the principal, following consultation with the Chair of Governors, considers that there is no senior manager to whom s/he can reasonably delegate a specific capability matter then the Executive Principal/Principal will take the role of the senior manager for that specific case and the role of the “Executive Principal/Principal” under this procedure will be performed by a “Disciplinary Committee” of the Governing Body consisting of not less than 3 governors, none of whom will have had previous involvement in the case.
- 1.5 The role of the Executive Principal will be taken by appropriate governors as indicated where the appraisal and or capability being reviewed is that of the Executive Principal.
- 1.6 “Lack of capability” is defined as a situation in which an employee is unable to perform the duties as defined by the job description and appraisal targets set by UTCC and the line manager, despite training and mentoring or perhaps due to a change in circumstances.
- 1.7 “Lack of performance” is defined as a situation in which an employee fails consistently to perform his/her duties to a wholly satisfactory standard of performance over a period of time and is unwilling to make changes to poor performance as defined by the job description and appraisal targets set by UTCC and the Line manager.
- 1.8 “Lack of capability due to absence” is defined by a situation in which an employee is unable to perform duties set out in the job description or appraisal targets set by UTCC and the line manager due to a change in personal circumstances such as ill health.

## 2. Purpose

- 2.0 This policy sets out the framework for a clear and consistent assessment of the overall performance of employees covered by the appraisal policy and for supporting their development within the context of the UTCC’s plan for improving educational provision and performance, and the standards expected of employees in their respective roles. It also sets out the arrangements that will apply when employees fall below the levels of competence that are expected of them.

- 2.1 This policy does not form part of any employee's contract of employment and it may be amended at any time following consultation. We may also vary any parts of this procedure, including any time limits, as appropriate in any case.

### 3. Scope

- 3.0 Part A of the policy, which covers appraisal and performance development, applies to the Principal and to all teachers and all support staff employed by UTCC, except those on contracts of less than one term. Teachers undergoing induction and support staff are subject to a probationary period as referred to in Part B of the policy.

Part B of the policy, which sets out the formal capability procedure, applies to all employees of the UTCC (including the Principal). Concerns about the employee's performance will have been identified by the appraisal process and which it has been unable to address.

## PART A Performance development and Appraisal

### 4. Performance Development

- 4.0 UTCC is committed to an effective performance development scheme for all staff, which:

- celebrates successful achievement;
- identifies areas for further development;
- sets clear, achievable objectives for the future;
- identifies the support and / or development necessary to ensure that the objectives can be achieved; and
- ensures that all members of the team play their parts in delivering high quality learning experiences for our pupils, their parents and the whole UTCC community.

Effective performance development has the following benefits:

- it raises standards;
- increases job satisfaction and motivation;
- offers a structure for valuing the contribution of every member of the team;
- identifies and addresses development needs to help people improve the way they work;
- provides an objective basis for evaluating how well people are performing;
- provides the opportunity for two-way feedback;
- allows us to agree SMART objectives for each member of the UTCC team; and
- strengthens and builds good working relationships across the UTCC

The UTCC's performance development process:

- is a continuous annual cycle comprising of a self- assessment, verification and appraisal, using the UTCC quality review process.
- links performance and the drive for continuous improvement and service;
- is a rigorous approach to defining, assessing and rewarding achievement in the workplace;
- ensures strong links to the UTCC improvement plans; and

- increases the individual's understanding of how their job adds value to UTCC.

We believe that performance development is a basic right for every member of the UTCC team. It sets a framework for all staff to agree and review their priorities and objectives within the context of the UTCC's improvement planning and their own development needs. We will implement our performance development arrangements on the basis of:

- fairness – we all need to be aware of the potential for unconscious discrimination and to avoid assumptions about people based on stereotypes; and
- equity – all staff will be encouraged and supported to achieve their potential through agreeing objectives, undertaking development and having their performance regularly assessed.

## Appraisal

The appraisal policy at UTCC will be a supportive and developmental process designed to ensure that all employees identified by the policy have the skills and support they need to carry out their role effectively. It will help to ensure that all employees are able to continue to improve their professional/employment practice and to develop in their respective roles.

### 1. The appraisal period

- 1.1 The appraisal period for all UTCC staff will run for twelve months from September to August.
- 1.2 Employees who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the review period will be determined by the duration of their contract.
- 1.3 Employees will not normally be dismissed for performance reasons without previous warnings. However, in serious cases of gross misconduct or in any case involving an employee who has not yet completed their probationary period, dismissal without previous warnings may be appropriate.

### 2. Appointing appraisers

- 2.1 The Executive Principal will be appraised by the Governing Body, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Body for that purpose.
- 2.2 The task of appraising the Principal, including the setting of objectives, will be by the Executive Principal.
- 2.3 The task of appraising the Executive Principal, including the setting of objectives, will be delegated to a sub-group consisting of two/three members of the Governing Body.
- 2.4 The Executive Principal/Principal will decide who will appraise other employees covered by the policy. This will be notified to staff annually.

### 3. Reviewing performance

#### Teachers

See Appraisal Record form (Appendix I). This should be completed with particular reference to the information below.

- 3.1 Before, or as soon as practicable after, the start of each appraisal period, the member of staff will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. They will be assessed against the performance objectives that form part of the performance measurement criteria for teaching standards and UTCC. These are; teaching observations, student outcomes, welfare and behaviour of students and the wider contribution to the UTCC. Leaders will have additional criteria against which their performance is measured.
- 3.2 UTCC believes that observation of classroom practice and other responsibilities for teachers, and support staff who support teachers in the classroom, is important both as a way of assessing performance in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform UTCC improvement more generally. All observation will be carried out in a supportive fashion. The observation protocol, is in accordance with the Pay Policy. Teacher's' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the employee and the overall needs of the UTCC. Classroom observation of teachers will be carried out by senior or middle managers.
- 3.3 In addition to formal observation, the Executive Principal/Principal or other 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. All "drop ins" will be carried out in accordance with the Pay Policy.
- 3.4 Appraisal Record form; this should be completed with particular reference to the above. The Appraisal record form should be a 'living' document to be discussed regularly by the appraiser and appraisee and revised as appropriate throughout the year. It is the key document for performance development purposes and will confirm the outcome of the annual review meeting. The appraisal record sets out the contribution required of the individual towards the achievement of the UTCC's objectives, which are set out in the UTCC Business plan.
- 3.5 The Executive Principal/Principal or governing body (as appropriate) will need to consider whether certain teachers should also be assessed against other sets of standards relevant to their role.

### Support Staff

- 3.6 Support staff appraisal will focus on the job description of the employee, the UTCC business plan and the employee experience of what is important in their job and the expected standards of performance will be made clear by the appraiser.
- 3.7 For some groups of staff, it will be more appropriate to carry out work observation than for others, for example observing a teaching assistant in a

classroom setting is more likely to be helpful in assessing performance than assessing a member of the administrative team. Any work observation to be carried out will be discussed in advance with the employees.

## All staff

### 4. Review meeting (appraisal)

- 4.1 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after an observation has taken place or other evidence has come to light. Feedback will highlight particular areas of strength as well as any areas that need attention.
- 4.2 The annual review meeting (appraisal) will be a structured discussion between the appraiser and appraisee. The aim is to assess overall job performance during the review period and find ways to improve and extend performance for the benefit of the employee and our UTCC. The purpose is to ensure a meeting of expectations on both parts is fulfilled.
- 4.3 Both colleagues should prepare for the meeting beforehand. Ideally, the date for the review meeting should be set giving at least one week's notice to allow both parties to collate the information and evidence they will need in order to review the employee's performance over the last twelve months.
- 4.4 It is important to see performance development as part of an annual cycle, so that performance can be reviewed and support provided as necessary throughout the year. Review meetings will be held between the appraiser and appraisee to check that the employee's performance is on track and that any previously agreed support is being provided.
- 4.5 Meetings should aim to reinforce successful behaviour and encourage change where necessary. We all need to receive feedback, praise and reassurance especially where we have worked hard to support UTCC so the review meetings are an important way to identify and celebrate significant achievement
- 4.6 Review meetings provide the opportunity to discuss any areas where the employee's performance is not meeting the required standard. Discussions of this kind are difficult for both parties but should be conducted in a climate of support and encouragement rather than blame or sanction. We believe that every member of our team wants to do their best for UTCC and we want them to succeed, so our aim is to ensure that an employee whose performance is not at the appropriate standard is able to improve and, where necessary, receives additional support to do so.

Where the employee's personal circumstances are leading to difficulties at UTCC, appropriate support will be offered as soon as possible, without waiting for the formal annual review.

Where there are concerns about any aspects of the employee's performance the appraiser will meet with the employee to:

- give clear feedback about the areas of concern;
- give the employee the opportunity to comment and discuss the concerns and establish the likely causes of poor performance and identify any training needs/support needed (e.g coaching, monitoring, structured observation)

- clarify the required standards and agree any support. This may include the offer of a PDP (see appendix 2) (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
  - if it is appropriate to revise objectives or add additional ones through a PDP, it will be necessary to allow sufficient time for improvement.
  - the amount of time will reflect the seriousness of the concerns; explain the implications and process if no, or insufficient, improvement is made.
- 4.7 When progress is reviewed, if the appraiser is satisfied that the employee 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.

### Setting objectives

- 5.1 The Executive Principal's objectives will be set by the Governing Body after consultation with the external adviser.
- 5.2 Objectives for each employee covered by the policy will be set before, or as soon as practicable after, the start of each appraisal period. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the employee's role and level of experience. The appraiser and employee will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives may be revised if circumstances change.
- 5.3 The objectives set for each employee will, if achieved, contribute to the UTCC's plans for improving the UTCC's educational provision and performance and improving the educational opportunities of students at UTCC. This will be ensured by Quality Reviews carried out by the Leadership team, checking objectives against the UTCC improvement plans.
- 5.4 The number of objectives will vary according to the nature of the job and the level of responsibilities. There should not normally be more than 6 objectives for the year ahead.
- 5.5 Where an employee does not achieve an objective, the appraiser will be expected to establish the reasons for this, in order to inform further support or other action.

### Development and support

- 6.1 Appraisal is a supportive process which will be used to inform continuing professional development. UTCC wishes to encourage a culture in which all employees take responsibility for improving their performance through appropriate development.
- 6.2 Teachers professional development will be linked to the UTCC improvement plan and to the ongoing professional development needs and priorities of individual teachers.

## Transition to capability

- 7.1 If the appraiser, is not satisfied with progress, the employee will be notified in writing that the appraisal system will no longer apply and that his/her performance will be managed under the capability procedure. The employee will be invited to a formal capability meeting. The capability procedures will be conducted as in part B of this policy.

## Annual assessment

- 8.1 The performance of each employee covered by the appraisal policy will be formally assessed in respect of each appraisal period.
- 8.2 In assessing the performance of the Executive Principal, the Governing Body must consult the external adviser.
- 8.3 This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed (mid year) and addressed on a regular basis.
- 8.4 The employee will receive feedback as soon as practicable possible, following the end of each appraisal period, and have the opportunity to comment in writing on a written appraisal report.
- 8.5 Teachers and support staff will receive their written appraisal reports by 31<sup>st</sup> October (31<sup>st</sup> December for the Executive Principal/Principal)

The appraisal report will include:

- details of the employee's objectives for the appraisal period in question;
- an assessment of the employee's performance of their role and responsibilities against their objectives and against the relevant criteria;
- an assessment of the employee's training and development needs and identification of any action that should be taken to address them. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- a recommendation on pay, where relevant, will be made by 31<sup>st</sup> October for staff and by 31<sup>st</sup> December for Executive Principal/Principal.

## Part B - Capability Procedure

### I. Formal Capability Meeting

- I.1 This procedure applies only to employees about whose performance there are serious concerns that the appraisal process has been unable to address. If under Part A above an employee's performance, who is covered by Part A, is not wholly satisfactory, the Executive Principal/Principal/Senior manager/Governor, or other person with line management responsibility for the employee, will invite the employee to a formal capability meeting to discuss with the employee the identified poor performance as specifically as possible.

- 1.2 The Executive Principal/Principal/Senior manager/Governor will write to the employee at least 5 working days in advance to inform him/her about:
- a) the date, time and place of the meeting.
  - b) the basic details of the concerns about the employee's performance
  - c) the employee's right to be accompanied by a representative of his/her trade union or a workplace colleague of his/her choice
  - d) the titles of enclosed copies of any documents to be used at the meeting.
  - names of any witnesses to be called
  - his/her right to call witnesses on his/her behalf.
  - The name and office of any adviser who will accompany the senior manager at the meeting.
  - An extra copy, together with any enclosures, will be provided for his/her companion.
  - This meeting is intended to establish the facts. It will be conducted by the Executive Principal/Principal/Senior manager (or the Chair of Governors for Executive Principal). The meeting will allow the employee to respond to concerns about his/her performance and to make any relevant representations. This may provide new information or a different context to the information/evidence already collected.
- 1.3 The Executive Principal/Principal/Senior manager/Chair of Governors 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.
- 1.4 The Executive Principal/Principal/Senior manager/Chair of Governors may also adjourn the meeting if it is decided 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.
- 1.5 During the meeting, or any other meeting which could lead to a formal warning being issued, the Executive Principal/Principal/Senior manager/Chair of Governors will:
- In the case of a teacher, identify the poor performance, including which of the standards expected of the teacher is not being met;
  - Ensure the employee is given an opportunity to ask questions, present evidence, call witnesses, respond to evidence and make representations;
  - Establish the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement;
  - give clear guidance on the improved standard of performance needed to ensure that the employee can be removed from formal capability procedures which may include the setting of new objectives focused on the specific area/s of poor performance that need to be addressed. It will include any success criteria that are appropriate and the evidence that will

be used to assess whether or not the necessary improvement has been made;

- identify whether there are further measures which may improve performance and explain any support that will be considered and planned to help the employee, e.g. in-service training, visits to other UTCCs, discussion with appropriate colleagues or professionals;
- 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 will be reasonable and proportionate, between four and ten weeks in normal circumstances, 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 sufficient time to establish whether performance has improved; and
- warn the employee formally that failure to improve within the set period could lead to a final written warning which could then lead to his/her dismissal.
- informed the employee of the right of appeal
- agree with the employee and any companion the date of the formal review meeting

1.6 Notes will be taken of formal meetings and a copy sent to the employee and any companion. Where a first warning is issued, the employee will be informed in writing of the matters discussed in 1.6 above. S/he will also be informed in writing that failure to achieve an acceptable standard of performance (within the set timescale), may result in a final written warning which could then lead to dismissal if wholly satisfactory performance is not achieved, together with the time limit for appealing against the first written warning.

- If the concerns relate to a lack of capability that poses a risk to the health, safety or well-being of children, or is likely to result in serious damage to pupils' education, the shorter timescale may be appropriate. In such cases, the Executive Principal/Principal/Senior manager/Chair of Governors may exceptionally decide to issue a first and final written warning. If to do otherwise would expose students to serious risk in terms of their health, safety, well-being or educational prospects.

## 2. Sickness absence and the use of this procedure

2.1 It is important that sickness absence should not delay or avoid the use of formal capability procedures. It is in the interests of all parties to address concerns about performance without undue delay. Arrangements will normally be made to seek medical advice from an occupational health adviser to assess the employee's health and fitness for continued employment at the UTCC.

2.2 Consideration will be given to whether poor performance may be related to a disability and, if so, whether there are reasonable adjustments that could be made to the employee's

working arrangements, including changing the employee's duties or providing additional equipment or training. We may also consider making adjustments to this procedure in appropriate cases e.g moving from this procedure to procedures used by the UTCC to terminate the employment of the employee on the grounds of ill health.

- 2.3 If an employee's medical condition is not serious enough to warrant a consideration of termination of employment on the grounds of ill health, the occupational health adviser will normally be asked to assess whether an employee absent through sickness is fit enough to attend a meeting under this procedure. In the event that the employee is deemed not fit to attend a formal capability meeting s/he may present a written submission for consideration and/or be represented by a companion in her/his absence.

### **3. Monitoring and review period following a formal capability meeting**

- 3.1 A performance monitoring and review period will follow the formal capability meeting. Formal monitoring, evaluation, guidance and support will continue during this period. Following this monitoring and review period, the employee will be invited to a formal review meeting (see paragraph 4 below), unless s/he had been issued with a final written warning, in which case s/he will be invited to a decision meeting (see paragraph 6 below).

### **4. Formal review meeting**

- 4.1 At least 5 working days before the date for the formal review meeting a written reminder will be given to the employee together with details of the meeting as set out in paragraph 1.2 above.
- 4.2 The formal review meeting will follow a similar procedure to that identified for the formal capability meeting as set out in paragraph 1.6 above.
- 4.3 If the Executive Principal/Principal/Senior manager (Chair of Governors for the Executive Principal) is satisfied that the employee has made sufficient improvement, the formal capability procedure will cease and the appraisal process will restart where the employee is subject to Part A above.
- 4.4 In cases:
- I. where some progress has been made and there is confidence that more is likely, it may be appropriate to extend the monitoring and review period;
  - II. where no, or insufficient improvement has been made during the monitoring and review period, the employee will receive a final written warning
  - III. Notes will be taken at the formal review meeting and a copy will be sent to the employee and any companion.
  - IV. 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 will be given information about the further monitoring and review period and the procedure and time limits for appealing against the final written warning. The date the decision meeting will be agreed with the employee and any companion.
  - V. At this stage, rather than refer the matter to a decision meeting, consideration could be given to the employee being given a different range of duties or an alternative post. By agreement, this may include transfer to a post suited to the employee's capabilities. If this post is at a lower salary level, the substantive lower salary would apply.

### **5. Right of Appeal against a formal written warning**

- 5.1 If an employee feels that a decision to issue a first and/or final written warning, is wrong or unjust, s/he may appeal in writing against the decision. Appeals against a written warning shall be restricted to considering the reasonableness of the decision made by the Executive Principal/Principal/Senior manager/Chair of Governors, any relevant new evidence not previously available to the Executive Principal/Principal/Senior manager/Chair of Governors or any procedural irregularities. A statement giving the reasons for the appeal should be submitted to the Executive Principal/Clerk to the corporation within 5 working days of the formal written warning having been received.
- 5.2 All appeal hearings will be held as soon as possible after receipt of the appeal at an agreed time and place.
- 5.3 The appeal will be heard by the Appeals Panel of Governors. The number of governors on the Appeals Panel of Governors will not be less than two. The panel may be advised by a person engaged for the purpose by the Governing Body. The panel can either confirm the warning, reduce a final warning to a warning, or cancel the warning. The employee will be informed in writing of the results of the appeal hearing as soon as possible.
- 5.4 The same arrangements for notification and the right to be accompanied by a companion will apply for an appeal hearing as for the formal capability and review meetings and, as with those meetings, notes will be taken and a copy sent to the employee and any companion.
- 5.5 Pending any appeal the employee will be expected to continue to work in accordance with targets set for the next stage of the procedure and his/her progress towards the achievement of these targets may be monitored during this period.

## 6 Decision meeting

- 6.2 At least 5 working days before the date of the decision meeting a reminder will be given in writing together with details of the meeting as in paragraph 1.2 above. The meeting will be conducted by the Executive Principal (Governor Panel for the Executive Principal).
- 6.3 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 restart where the employee is subject to Part A above.
- 6.4 If progress has been made and there is confidence that wholly satisfactory performance will be achieved by a short extension, it may be appropriate to extend the monitoring and review period rather than to dismiss. The final written warning will be extended for a short specified assessment period.
- 6.5 If performance has remained unsatisfactory, a decision will be made that the employee will be dismissed. The employee will be informed in writing 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 whether the notice is to be served or there will be pay in lieu of notice, and the right of appeal.

## 7 Right of Appeal against a decision to dismiss

- 7.2 The employee has a right of appeal to the Appeals Committee of the Governing Body against a decision to dismiss.
- 7.3 The Appeals Committee shall consist of at least 3 governors, none of whom will have had any previous involvement in the case.

- 7.4 The employee's notice of appeal should be sent to the Clerk to the Governors within 5 working days of receipt of the written decision to dismiss, setting out the grounds of appeal.
- 7.5 Appeal hearings should be held as soon as possible after receipt of the appeal and will be conducted in the same way as appeals referred to in paragraph 5 above.

## **8 Notice of Dismissal**

- 8.2 Following a decision to dismiss, the Governing Body will notify the employee in writing that the employee is to be dismissed, whether with notice or with pay in lieu of notice in accordance with the decision of the Executive Principal (or Disciplinary Committee).
- 8.3 In the event that the Appeal Committee of the Governors decides not to uphold the decision to dismiss, the employee shall be informed immediately and the notice of dismissal shall be immediately withdrawn.

## **9 Grievances arising during the procedure**

- 9.2 Where an employee has a grievance against the way the Executive Principal/Principal/Senior manager/Chair of Governors has conducted the procedure this will normally be dealt with under the appeals process set out above. However, in very exceptional circumstances, where the behaviour of the Executive Principal/Principal/Senior manager/Chair of Governors is the cause of the grievance, it may be appropriate to suspend this procedure for a short period until the grievance has been considered

## **10 Trade Union Officials**

- 10.1 Although normal performance standards must apply to an employee who is a lay trade union official, no disciplinary action, beyond an informal oral warning will be taken until the circumstances of the case have been discussed with the relevant professional trade union officer.

## **11 Confidentiality**

- 11.1 Our aim is to deal with performance matters sensitively and with due respect for the privacy of any individuals involved. All employees must treat as confidential any information communicated to them in connection with a matter which is subject to this capability procedure
- 11.2 The employee, and anyone accompanying the employee (including witnesses), must not make electronic recordings of any meetings or hearings conducted under this procedure. Failure to observe confidentiality could be a reason for disciplinary action under the UTCC's disciplinary procedure.

<b>Employee name:</b>	<b>Line manager:</b>	
<b>Department:</b>	<b>End of year Review:</b>	<b>Date:</b>

To be completed by the member of staff in discussion with the Line manager. Please record notes against the criteria below, taking into account the completed Quality of Teaching and learning review, the enhanced curriculum review, the personal development, behaviour and welfare review and the Leadership and management review.

**Teaching and Learning Quality Review** (evidence of teaching standards 1-7) Exceeds - Blue. Meets - Green. Approaches - Amber. Not yet - Red.

Name	Pedagogy: standard 4	Subject knowledge- objectives: Standard 3	Personalised for all- independence: Standard 5	Assessment and feedback: Standard 6	Planning overall	Learning Check: Standard 6	Questioning Standard 6	Good relationships: standard 1 & 7	Literacy- Numeracy: standard 3	Delivery overall	Progress in lessons- student: Standard 2.	Progress in lessons- teacher: Standard 2	Progress over time: Standard 2	Outcomes Overall	Summary
<i>Self Evaluation RAG</i>	Green	Green	Green	Amber	Green	Green	Green	Blue	Green	Green	Green	Green	Green	Green	Green
<i>Verified</i>	Green	Green	Green	Amber	Green	Green	Green	Blue	Green	Green	Green	Green	Green	Green	Green
<i>Notes</i>															

## Enhanced Curriculum

Name	Subject(s)	Tutors meet with tutees on a regular basis to discuss their personal development	Tutor is aware of tutees current attendance, monitor and communicate attendance	Tutors use registration time to encourage pupils to discuss & debate current issues in a considered way, showing respect for others	Tutor has an active role in the next stage of the tutees education. With Careers advice.	Mentoring student personal development	Tutors have active engagement in pupils behaviour model UTCC expectations	Regular communication with home is completed to discuss both positive areas for improvement of behaviour and conduct. All communication is logged in SIMs and recorded in tutor folder.	Tutors monitor college expectations of behaviour, uniform, equipment and readiness to learn on a daily basis. Communication with parents/pupils is made and recorded on sims.	Monitoring student behaviour	Tutors are able to build a relationship with tutees that allow free communication, allowing tutees to talk about all aspects of their life- college and personal. This is in the form of mentor meetings that is recorded using the adopted pro forma and kept secure.	Tutors work alongside other staff to effectively deal with any cases of bullying from or towards pupils. UTCC procedures are followed.	Tutors actively encourage discussion of topics covered by SMSC/British values	Supporting student welfare	Summary Overall

## Personal development, behaviour and Welfare

Name	Subject(s)	Take an active role in developing Challenge projects	Effective organisation and full supervision of Challenge project sessions	Students are actively engaged in Challenge Project sessions	Have organised and led trips as part of a Challenge Project	Students of Challenge Projects are given regular feedback on their work and competency checker is regularly completed	Contribution to Challenge Projects	Have supported students in achieving work experience placements	Have provided clear support and advice to students to enable them to make realistic decisions regarding their future education & Careers.	Have supported students in their application for sixth form, university, apprenticeships or work.	Have provided students with appropriate advice to support them in choosing the correct courses, supported them to succeed on courses, provided extra support to students that are struggling and have a high retention rate for students on courses for which you are responsible.	careers & Education, information, advice and guidance (CEIAG)	Have organised and run extra curricular trips and activities	Have organised and run enrichment activities	Have actively promoted UTCC to the wider community	Have been engaged in individual projects that drive performance at UTCC	Contribution to the wider college community	Summary Overall

## Leadership & Management Quality Assurance Review

Name	The vision is shared and plans to achieve are well formulated	High Standards are achieved and are articulated widely and effectively	Quality and performance are achieved through the building of individual capability	Methods for improving and tracking underperformance are articulated well	High Standards of student behaviour are achieved through rigorous and consistently applied systems	Evidence is given of how curricular and extra provision meet the needs of all learners	Planning intervention for underperforming students is a faculty wide process	SMSC is promoted widely and effectively	The leader has used evidence to effectively identify overall strengths and weakness of the faculty	Summary
Self Evaluation RAG										
Verified										

## Summary

Name of member of staff	Exam results <b>Teaching standards 2</b>	Student progress/outcomes Key Stage 4 Key stage 5 <b>Teaching standard 2</b>	Teacher Quality Review Planning high impact learning <b>Teaching Standards 3,4, 5 &amp; 6</b>	Teacher Quality Review Delivering the learning experience effectively <b>Teaching standards 1,3,6 and 7</b>	Enhanced curriculum Quality Review <b>Quality review form Standard 8</b>	Personal development, behaviour and welfare Quality Review <b>Quality review form</b>	Leadership and management Quality Assurance Review (if applicable) <i>Performance of team</i> <b>Quality assurance records</b>	RAG of Perf outcome From Principal, Deputy, HRM and line manager	Intervention Action: comment
Verified									<i>Targets for improvement &amp; CPD on Pedagogy standard and student outcomes &amp; Leadership</i>
Notes									

**PDP:**

**Strengths:**

Reflecting on the review above, please identify your 3 areas of strength that you feel could be shared as good practice with other members of staff to benefit UTCC. Please discuss with Line manager.

**Opportunities:**

Reflecting on the review above, please identify 3 areas for development that you feel would contribute to your personal development and benefit UTCC. Please discuss with Line manager.

Line Manager, please summarise the employee's performance and progress against the criteria:

Employee's comments:

**Review date:**

**Employee Signature:**

**Line manager Signature:**

## PERSONAL DEVELOPMENT PLAN (PDP)

### Rationale

The Parkside UTCC Improvement Plan has among its aims the following:

- *Priority 1: Ensure that all students make outstanding progress across all subjects*
- *Priority 3: Ensure that the quality of teaching is at Outstanding*

In order to achieve these aims, teachers need to be supported to deliver consistently good or outstanding lessons. Parkside Federation Academies understand that this improvement needs to be brought about through partnership between teachers and middle and senior leadership.

A Personal Development Plan (PDP) is a five or six-week programme designed to offer formative support to teachers to develop specific teacher standards.

### Eligibility

Teachers will be offered a PDP within an academic year if:

- their performance has been rated as 'needing improvement' or 'inadequate' in their appraisal, mid-year review, end-year review or in an observation within the last six months
- their performance has been rated as 'good' for three appraisal sessions in succession

An appropriate PDP package will be discussed with these teachers. Teachers and middle managers can also request to undertake a PDP if agreed with their line managers. They may choose to volunteer if:

- they feel there is a particular element of their teaching they need support with
- they wish to have coaching/mentoring with a more experienced leader/manager

### Programme

- Initial meeting between teacher, coach and relevant line managers (JDh, MSu, HMc) to specify teaching standard(s) to be developed and to form the plan
- First observation by coach to give initial formative feedback
- Coaching session(s) with coach
- Observation(s) of teacher standards coach and discussion (PFA will provide cover)
- Second observation by coach to give summative decision on the teaching standard(s) developed
- Review meeting between teacher, teacher standards coach and relevant line manager to sign off PDP or extend it

### Completion

At the review meeting, the impact of the PDP will be evaluated. If there is evidence of improvement, the PDP can be signed as completed. If there is not, a second PDP will be established. Failure to improve after this may lead to Capability procedures.

# PERSONAL DEVELOPMENT PLAN (PDP)

## Identification of Teacher

Initiated by:

Date:

Name of teacher:

Faculty:

Areas for Development

Evidence for Development Being Needed

Support offered prior to PDP

# PERSONAL DEVELOPMENT PLAN (PDP)

## Initial Meeting and Log (Teacher, Coach, Line manager)

I. Agreed Teacher Standard(s) to be addressed / evidence for development need:

- 
- 
- 

Area for Improvement	Support Provided	Supporting Colleague	Date of Support	Evidence of Improvement

Teacher name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Coach name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
LM name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# PERSONAL DEVELOPMENT PLAN (PDP)

## Coaching Session (to be completed by teacher)

Agreed Teacher Standard(s) to be addressed:

- 
- 
- 

Notes from Coaching Session:

Actions arising from Coaching Session

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Teacher name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Coach name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# PERSONAL DEVELOPMENT PLAN (PDP)

## Observation Form

Teacher:	Observer:	Class:	Date:
Teacher Standard to be Addressed	Evidence and Evaluation		
Teacher Standard to be Addressed	Evidence and Evaluation		
Areas of Strength			
Areas for Development			
Suggested Actions			

# PERSONAL DEVELOPMENT PLAN (PDP)

## Review Meeting

Agreed Teacher Standard(s) to be addressed:

- 
- 
- 

Evidence of improvement:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Areas for continued development:

- \_\_\_\_\_
- \_\_\_\_\_

PDP successfully completed: Yes / No

If no, further action required:

- \_\_\_\_\_
- \_\_\_\_\_

Teacher name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Coach name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

LM name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# PERSONAL DEVELOPMENT PLAN (PDP)

## Coach and Participant Specification and Coaching Sessions

### Coaches:

- have a proven track record of outstanding teaching and results
- have been judged 'good' or 'outstanding' in their most recent appraisal
- want to make a difference to their colleagues' performance and to the wider UTCC
- have excellent listening skills
- are able to communicate effectively with colleagues
- are willing to dedicate time to supporting colleagues
- can deal with confidential issues sensitively
- can challenge underperformance supportively
- can think constructively and facilitate others to do so
- do not lecture and do allow the participant to do the thinking and talking

### Participants:

- recognise that there are teaching standards that they need to develop and want to develop them
- are open to a coaching model where they are prompted to come up with their own solutions as well as receiving advice and examples
- recognise the commitment made by their coaches and the UTCC to their professional development
- accept and act on constructive advice

### Coaching works well when:

- the time, date, place and duration of the session are agreed in advance and adhered to
- the ground rules are set in advance (no mobile telephones, computer switched off)
- the specific objective to be developed for the session is agreed at the beginning
- both participants are fully focussed on the job in hand
- the venue is free of distractions (Meeting Room booked, not shared office space)
- participant does most of the talking

### The participant can expect:

- at least one half an hour coaching session within the PDP time frame
- non-judgemental, constructive advice from an excellent practitioner

### The coach can expect:

- recognition by PFA of willingness to engage in staff development