

Governing Body Meeting
Spring Term 2020

Report by the Director of Business
Development

APPRAISAL POLICY

1. INTRODUCTION

- 1.1 The Appraisal policy was last presented to governors during the Summer term 2017. This policy is listed in the DfE's 'Statutory policies for schools' guidance as a policy which schools are required to have by law.
- 1.2 This policy was reviewed alongside the changes to the Pay policy in Spring 2019 following the teachers' pay award and it was fit for purpose at that time.

2. BACKGROUND

- 2.1 The Appraisal policy provides a robust framework for the consistent assessment of teachers' performance which enables pay decisions to be made.
- 2.2 In July 2019 the DfE wrote to all Local Authorities and Multi-Academy Trusts expressing their concerns at the amount of data generated and the workload implications for staff within schools. They referred to the report that was published "Making Data Work". A link to this report can be found at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/754349/Workload_Advisory_Group-report.pdf
- 2.3 Following advice from the charity Stonewall the gender specific language in all policies, e.g. "he/she" had been updated to "they". In addition, job titles of officers or specific council departments referred to within the individual policies had been updated to reflect changes in the council structure.

3. INFORMATION

- 3.1 Paragraph 3 has been removed from the policy as it referred to the introduction of the Appraisal Regulations in 2012. This is now out of date and no longer requires specific mention within the policy.
- 3.2 Paragraph 4 has been removed from the policy as it included the date the policy is adopted within school. This information is recorded in the minutes of meetings so does not require explicit reference within the policy. The removal of these paragraphs has affected the paragraph numbering throughout the document.
- 3.3 Paragraph 42 has been updated to reflect the DfE's guidance on data in schools. It states that objectives and performance management discussions should not be based **only** upon teacher generated data and predictions, or **solely** on the assessment data for a single group of pupils.

4. ISSUES FOR CONSIDERATION

- 4.1 The governing body is asked to consider the adoption of the revised model Appraisal policy. Voluntary aided schools and academies which are part of the HR service level agreement, are asked to receive these policies for information and consideration.
- 4.2 Should the governing body decide not to adopt the revised model policy it should produce an appropriate alternative in consultation with the recognised teacher associations and trade unions. Community schools will be required to provide an alternative to the council, which the council as employer is satisfied, meets the necessary standard.
- 4.3 All governing bodies who adopt alternative documents or modify the models provided are requested to submit final documents to schoolsHRpolicy@northlincs.gov.uk
- 4.4 The governing body is reminded of the need to communicate policy changes to all staff at the earliest opportunity.

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17 October 2019

NORTH LINCOLNSHIRE COUNCIL

TEACHER APPRAISAL POLICY FOR [REDACTED] SCHOOL/ACADEMY

INTRODUCTION

1. This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the **head teacher/principal**. It supports teacher development within the context of the **school/academy's** plan for improving educational provision and performance, and the standards expected of teachers.
2. The governing body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

APPLICATION OF THE POLICY

3. The policy applies to the **head teacher/principal** and all teachers employed by the **school/academy** except teachers on contracts of less than one term, those undergoing induction (*i.e.* **NQTs**) and those who are the subject of capability procedures

*Note 1: Unless indicated otherwise, all references to 'teacher' include the **head teacher/principal**. Instructors and unqualified teachers should also be appraised with proportionate expectations.*

4. 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 **school/academy's** adopted capability procedure, and will be invited to a formal capability meeting. Evidence from the teacher appraisal process that detects limitations in a teacher's capability will support any subsequent resolution.
5. A fundamental principle of this policy is that teacher appraisal arrangements will apply to part-time staff on the same basis as for full-time staff, including the length of the appraisal period. The same degree of challenge in the process will also apply but the breadth and volume of each element in the process will be proportionate to and reflect the period of time worked. Part-time staff will have equivalent access to developmental support/feedback as their full time colleagues.

PURPOSE

6. Appraisal in this **school/academy** will be a supportive and developmental process designed to ensure that all teachers have the skills and support they need to carry out their role effectively. It will help to ensure that teachers are able to continue to improve their professional practice and to develop as teachers.
7. Teachers should play an active part in their appraisal ensuring they put forward their views about their performance and future development.
8. Where teachers are eligible for pay progression (in accordance with paragraph 12 below), the assessment of performance throughout the cycle, against the

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<#>This teacher appraisal policy complies fully with the requirements of the Education (School Teachers' Appraisal) (England) Regulations 2012.¶
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<#>The governing body of [REDACTED] school/academy adopted this teacher appraisal policy on [REDACTED].¶

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performance criteria specified in the appraisal record will be the basis on which the recommendation is made by the appraiser. The assessment will be based on the achievement of appraisal objectives, assessment against the relevant standards, classroom observation and any other evidence agreed in advance with the employee.

9. This policy should be read in conjunction with the **school/academy's** pay policy which provides details of the arrangements relating to teachers' pay in accordance with the current School Teachers' Pay and Conditions Document (STPCD).

LINKS TO PAY AND CAREER STAGES

10. All pay recommendations and decisions will be linked to assessments of performance for all teachers.
11. Appraisal arrangements apply equally and appraisers will need to make a recommendation on pay for all teaching posts in the **school/academy**, with the exception of those outlined in paragraph 6.
12. Appraisers' pay recommendations will be passed to the **head teacher/principal** as part of the appraisal record and the **head teacher/principal** will pass the pay recommendation, normally comprising a simple list with brief supporting information, on to the governing body or its relevant committee to make a decision. Governors may request access to appraisal records as outlined at **paragraph**.
13. Where the appraisee is the **head teacher/principal** the governing body has determined that nominated governors will appraise the **head teacher/principal** in accordance with this policy and will:

(DETERMINE AND DELETE AS APPLICABLE)

Option 1

Make a subsequent decision themselves on pay.

OR

Option 2

Pass the pay recommendation, normally comprising a simple list with brief supporting information, on to the full governing body/relevant committee to make a decision.

LINKS TO SCHOOL IMPROVEMENT AND SCHOOL DEVELOPMENT PLANNING

14. The appraisal process will be the main source of information as appropriate for the wider school improvement process, assisting to minimise workload and bureaucracy. Similarly, the school improvement and development plan is a key document for the appraisal process.
15. All appraisers are expected to explore the alignment of teachers' objectives with the **school/academy's** priorities and plans. The objectives should also reflect teachers' professional aspirations.

CONSISTENCY OF TREATMENT AND FAIRNESS

16. All stages of the process will be undertaken giving consideration to equality principles and compliance with anti-discrimination legislation. Appraisers will

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consider their actions within the appraisal process and assess whether any action might be deemed to be either directly or indirectly discriminatory.

17. To ensure this, the following provisions are made in relation to moderation, quality assurance and objective setting.

QUALITY ASSURANCE

18. The head teacher/principal has determined that they will:

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Option 1

Be the appraiser for all teachers.

OR

Option 2

Delegate the appraiser role for some or all teachers for whom they are not the line manager. In these circumstances the head teacher/principal will:

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EITHER

Moderate all the appraisal reports to check that the objectives recorded and pay recommendations made in the reports of teachers at the school/academy:

- are consistent between those who have similar experience and similar levels of responsibility
- comply with the school/academy's appraisal and pay policies, the regulations and the requirements of equality legislation

OR

Moderate a sample of appraisal reports to check that the objectives recorded and pay recommendations made in the reports of teachers at the school/academy:

- are consistent between those who have similar experience and similar levels of responsibility
- comply with the school/academy's appraisal and pay policies, the regulations and the requirements of equality legislation

OR

Choose not to moderate any appraisal reports.

19. The governing body will:

(DETERMINE AND DELETE AS APPLICABLE)

Option 1

Nominate the chair of the governing body, who will not be involved in the head teacher/principal's appraisal or any subsequent grievance regarding the head teacher/principal's appraisal to ensure that the head teacher/principal's appraisal report is consistent with the school/academy's improvement priorities and complies with the school/academy's appraisal and pay policies and the regulations.

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OR

Option 2

nominate (up to three governors - **state the number**) who will not be involved in the head teacher/principal's appraisal or any subsequent grievance regarding the head teacher/principal's appraisal to ensure that the head teacher/principal's appraisal report is consistent with the school/academy's improvement priorities and complies with the school/academy's appraisal and pay policies and the regulations.

OR

Option 3

Choose not to quality assure the appraisal report.

- 20. The governing body will review the quality assurance processes when the appraisal policy is reviewed.

THE APPRAISAL CYCLE

- 21. The appraisal of teachers must be conducted on an annual basis. Pay recommendations need to be made by 31 December for the head teacher/principal and by 31 October for all other teachers, unless a different annual cycle is agreed in advance.
- 22. The appraisal period will run for twelve months from [] to [] (insert dates: setting out any differences that exist for different categories of staff).
- 23. Teachers 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 period will be determined by the duration of their contract.
- 24. Where a teacher starts their employment at the school/academy part-way through an appraisal period and will be employed for one term or more, the head teacher/principal or, in the case where the teacher is the head teacher/principal, the governing body shall determine the length of the first appraisal period for that teacher, with a view to bringing their appraisal period into line with the cycle for other teachers at the school/academy.
- 25. Where a teacher transfers to a new post within the school/academy part-way through an appraisal period, the head teacher/principal or, in the case where the teacher is the head teacher/principal, the governing body shall determine whether the appraisal period shall begin again and whether to change the appraiser.

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Note 2: For teachers who are absent for a significant part of the appraisal period, the appraiser will take account of what it was reasonable for the teacher to achieve, including against the objectives, during the time when they were not absent. Situations should be assessed on an individual basis and proportionate objectives should form the basis for the assessment of a teacher's overall performance and associated pay recommendation.

APPOINTMENT OF APPRAISERS FOR THE HEAD TEACHER/PRINCIPAL

- 26. The head teacher/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.

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27. In this school/academy:

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Option 1

The governing body is the appraiser for the head teacher/principal and to discharge this responsibility on its behalf may appoint 2 or 3 governors.

OR

Option 2 (for school/academies with a religious character)

The governing body is the appraiser for the head teacher/principal and to discharge this responsibility on its behalf appoints 2 or 3 governors of which _____ (at least one) will be a foundation governor.

OR

Option 3 (for voluntary aided schools)

The governing body is the appraiser for the head teacher/principal and to discharge this responsibility appoints:

EITHER

Two governors of which _____ (at least one) will be a foundation governor.

OR

Three governors of which _____ (not less than two) will be foundation governors.

28. The governing body will appoint suitably trained governors to act in the capacity as appraiser for the head teacher/principal, in order to ensure objectivity and facilitate any subsequent appeals process in line with the school/academy's pay policy.

29. Where a head teacher/principal is of the opinion that any of the governors appointed by the governing body is unsuitable for professional reasons, they may submit a request to the governing body for that governor to be replaced, stating those reasons.

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APPOINTMENT OF APPRAISERS FOR TEACHERS

30. In this school/academy the head teacher/principal has decided that:

(DETERMINE AND DELETE AS APPLICABLE)

Option 1

The head teacher/principal will be the appraiser for all teachers in this school/academy.

OR

Option 2

The head teacher/principal will be the appraiser for those teachers they directly line manage and will delegate the role of appraiser, in its entirety (including pay recommendations), to the relevant line managers for some or all other teachers.

Where the head teacher/principal has chosen option 2, then:

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EITHER

Line managers will be the appraisers for all those teachers they line manage.

OR

The maximum number of formal appraisals that any line manager will normally be expected to undertake per cycle is five.

Note 3: Where staffing structures reflect circumstances that by practicality dictate the number of formal appraisals a line manager will conduct, this should not necessitate an unmanageable increase in workload, or have a detrimental effect on an appraisers work life balance.

- 31. Where a teacher acts in the capacity of appraiser, the head teacher/principal or, in the case where the teacher is the head teacher/principal, the governing body shall review the arrangements giving consideration to workload and work life balance issues at least on an annual basis.
- 32. Where a teacher has any concerns about their capacity to act as appraiser at any stage during the appraisal cycle, the teacher should raise these concerns immediately with the head teacher/principal or, in the case where the teacher is the head teacher/principal, the governing body.
- 33. Where a teacher has more than one line manager the head teacher/principal will determine which line manager will be best placed to conduct the appraisal process.
- 34. Where a teacher is of the opinion that the person to whom the head teacher/principal has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the head teacher/principal for that appraiser to be replaced, stating those reasons.
- 35. Where it becomes apparent that the appraiser will be absent for the majority of the cycle or is unsuitable for professional reasons the head teacher/principal may perform the duties themselves, or delegate them in their entirety (including pay recommendations) to another teacher. Where this teacher is not the appraisee's line manager the teacher will normally have an equivalent or higher status in the staffing structure as the teacher's line manager.
- 36. An appraisal cycle shall not be caused to begin again in the event of the appraiser being changed.
- 37. All line managers to whom the head teacher/principal has delegated the role of appraiser will receive appropriate preparation for that role.

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OBJECTIVE SETTING

- 38. Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which that teacher's performance in that appraisal period will be assessed. Areas for development identified through this assessment should help inform the objectives set. Schools may wish to determine the specific standards expected of teachers on an individual basis based upon their role and level of experience. Schools will also need to consider the additional standards expected for post-threshold and leadership teachers.

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Appendix 1 may be used to support this process for mainscale teachers. Please note that these standards do not apply to Instructors/unqualified teachers or those on QTLS.

39. The objectives set for each teacher will, if achieved, contribute to the school/academy's plans for improving the school/academy's educational provision and performance and improving the education of pupils at that school/academy. This will be ensured by quality assurance measures set out at paragraphs 18 and 19.
40. Objectives for each teacher will be set before or as soon as practicable after, the start of each appraisal period. The objectives set for each teacher, will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the teacher's role and level of experience. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. A form to record this information is attached at Appendix 2.
41. The head teacher/principal's objectives will be set by the governing body after consultation with the external adviser.

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Note 4: With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011. The head teacher/principal or governing body (as appropriate) will consider whether certain teachers should also be assessed against other sets of standards published by the Secretary of State that are relevant to them. For QTLS holders, assessment may be against the overarching professional standards for teachers in the lifelong learning sector.

42. The objectives set will have regard to what can reasonably be expected of any teacher in that position given the desirability of the teacher being able to achieve a satisfactory balance between the time required to discharge their professional duties and the time required to pursue their personal interests outside work, consistent with the school/academy's strategy for bringing downward pressure on working hours. Objectives and performance management discussions should not be based only upon teacher generated data and predictions, or solely on the assessment data for a single group of pupils.
43. The objectives established shall also take account of the teacher's professional aspirations and any relevant pay progression criteria set out in the current STPCD. They should be such that, if they are achieved, they will contribute to improving the progress of pupils at the school/academy.
44. Teachers will normally have no more than three clear objectives per cycle. Objectives should be clearly defined and will not normally contain subsidiary targets. In exceptional circumstances more than three objectives may be agreed providing the setting of these objectives does not necessitate an unmanageable increase in workload for either the appraiser or appraisee and/or have a detrimental effect on a teacher's work life balance. A form at Appendix 2 - Appraisal Plan is available to support this process.

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Note 5: Some objectives may be achievable within the appraisal cycle. Others may require a longer period and will span more than one cycle. In this case the record of objectives will show the milestones towards that objective to be achieved in the current cycle.

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CLASSROOM OBSERVATION

45. This school/academy believes that observation of classroom practice and other responsibilities is important to assess teachers' performance in order to identify any particular strengths and areas for development. It should also improve school improvement more generally. All observation will be carried out in a supportive fashion. The protocol for classroom observation in this school/academy is outlined in Appendix 3.
46. Formal classroom observation for the purpose of appraisal will take place with a clear rationale and focus and will not normally exceed three hours; however the amount and type of classroom observation will ultimately depend on the individual circumstances of the teacher and the overall needs of the school/academy. **Classroom observation will be carried out by those with QTS/QTLS.**

Note 6: Where possible formal classroom observations will take place early in the appraisal cycle to enable any identified training and development needs to be addressed. Teachers should be clear about when and how specific dates for formal classroom observation will be agreed

47. In addition to formal observation, head teacher/principals 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.
48. Teachers who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

Note 7: Classroom observation will provide evidence of how a teacher is making progress in relation to agreed objectives, but it will also enable the appraiser to assess an appraisees teaching practice more generally and thereby inform an assessment of the overall performance of the teacher.

REVIEWING PROGRESS/FEEDBACK

49. Teachers will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light.
50. Feedback will highlight particular areas of strength as well as any areas that need attention. Where there are concerns about any aspects of the teacher's performance the appraiser will meet the teacher formally to:
 - give clear feedback to the teacher about the nature and seriousness of the concerns;
 - give the teacher the opportunity to comment and discuss the concerns, highlight any mitigation and provide supporting evidence;
 - agree any support (e.g. coaching, mentoring, further Continuing Professional Development (CPD), structured observations), that will be provided to help address those specific concerns;
 - obtain commitment from both the teacher and the school/academy that every effort will be made to ensure that any agreed support, training and/or

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- CPD will take place;
- make clear how, and by when, the appraiser will review progress;
- explain the implications and process if no – or insufficient – improvement is made.

Note 8: It may be appropriate to revise objectives, and it will be necessary to allow sufficient time for improvement. The amount of time will depend on the individual circumstances of the teacher but should reflect the seriousness of the concerns.

51. When progress is reviewed, if the appraiser is satisfied that the teacher has made, or is making, sufficient improvement, the appraisal process will continue as normal, with any remaining issues continuing to be addressed through that process.
52. If the appraiser is not satisfied with progress, the teacher will be notified that the appraisal system will no longer apply and that their performance will be managed under the school/academy's capability procedure. This will be confirmed in writing as soon as possible, with a copy of the procedure provided.
53. Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher/principal, the governing body **must** consult the external adviser.
54. This assessment is the end point to the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place normally at least once a term.
55. The teacher will receive as soon as practicable following the end of each appraisal period – and have the opportunity to comment in writing on - a written appraisal report. In this school/academy, teachers will receive their written appraisal reports by 31 October (31 December for the head teacher/principal). The appraisal report will include:
 - Details of the teacher's objectives for the appraisal period in question;
 - an assessment of the teacher's performance of their role and responsibilities against their objectives and the relevant standards; see Appendix 1
 - an assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
 - a recommendation on pay.

A form at Appendix 5 is available to assist in the above process.

Note 9: Good progress towards the achievement of a challenging objective, even if the performance criteria have not been met in full, will normally be assessed favourably.

56. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
57. Evidence gathered as part of the appraisal process should not compromise normal professional relationships between teachers. Nothing in this policy shall negate the ongoing need to provide training and support in the achievement of objectives and generally sustain professional dialogue.

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Note 10: Meetings associated with the appraisal process should be scheduled as far in advance as possible and sufficient directed time should be allocated. Where it is proposed that some of the five annual professional days, lunch breaks or PPA time are used for teacher appraisal meetings, this should be by agreement.

OBJECTIONS

58. In most cases, simple disagreements should be resolved through discussion between the appraiser and appraisee without recourse to formal procedures. Where an objection is raised and agreement cannot be reached, teachers should be reminded of the possibility of obtaining further advice and guidance from a relevant professional body or a work place colleague.
59. Formal objections should be dealt with in accordance with the school/academy's adopted grievance procedure but only after informal attempts to resolve the matter have been exhausted.
60. Details of the appeals process as it relates to pay decisions are covered in the school/academy's pay policy.

CONFIDENTIALITY AND RETENTION

61. The appraisal processes will be treated with confidentiality. However, the desire for confidentiality does not override the need for the head teacher/principal and governing body to have access to appraisal records in order to:
 - ensure normal management responsibilities are undertaken;
 - make relevant pay decisions;
 - address any grievances lodged in relation to the setting of objectives or the wider appraisal process;
 - quality-assure the operation and effectiveness of the appraisal system as outlined at paragraphs 20 and 21 above.
62. The disclosure of appraisal records beyond those circumstances referenced above will normally be discussed with the teacher beforehand.
63. The governing body and head teacher/principal will ensure that copies of all written appraisal records are retained in a secure place for a minimum period of six years.

DEVELOPMENT AND SUPPORT

64. Appraisal is a supportive process linked to school improvement priorities and to the ongoing needs and priorities of individual teachers, which will be used to inform continuing professional development.
65. The school/academy's CPD programme will be informed by the training and development needs identified in the Training Plan (see Appendix 6) of the appraisees' records.
66. Details should be forwarded by the appraiser to the school/academy's CPD leader in order for them to plan appropriate CPD provision for the forthcoming appraisal cycle.

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67. The governing body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school/academy budget for any training and support agreed for appraisees.
68. CPD leaders will engage in professional dialogue with all appraisers at the earliest opportunity before the commencement of a new appraisal cycle. This should ensure that all appraisers are aware of school/academy and CPD priorities, understand the context in which they are working, and what support, training and development can reasonably be agreed with an appraisee. It should be clear to the appraisee from the outset what support has been agreed.

Note 11: Teachers should not be held accountable for failing to make good progress towards meeting their performance objectives where the support identified has not been provided and their progress has been adversely affected by the absence of that support.

69. Teachers should assess any training and development activity undertaken during the appraisal cycle and make a self-evaluation of whether the activity has fulfilled the support requirements identified at their appraisal meeting. Where there is a shortfall this should be discussed with the appraiser at the earliest opportunity.
70. This policy should be read in conjunction with the school/academy's CPD policy, which provides wider detail of the support arrangements for the effective identification and evaluation of learning and development needs.

MONITORING, EVALUATION AND REVIEW OF THE POLICY

71. The governing body and head teacher/principal will monitor the operation and effectiveness of the school/academy's appraisal arrangements, including:
- teachers' training and development needs, and
 - any objections made on an individual or collective basis, on the grounds of alleged discrimination.
72. The governing body will review the teacher appraisal policy:

(DETERMINE AND DELETE AS APPLICABLE)

Option 1
every school year at its _____ meeting

OR

Option 2
in (insert date or number of years)

or sooner as required by any changes in regulation and/or statutory guidance.

73. The governing body will seek to agree any revisions to the policy with the recognised trade unions having regard to the results of the consultation with all teachers.

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74. To ensure teachers are fully conversant with the teacher appraisal arrangements, all new teachers who join the school/academy will be briefed on them as part of their introduction to the school/academy.

Note 12: Copies of the school improvement and development plan can be obtained from the school/academy office.

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