

Teachers Appraisal Policy and Procedure

November

2024

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1. Introduction

1.1 Aim

- 1.1.1 This policy sets out how the School/Federation will improve outcomes for children/students, and raise the morale of teachers, by motivating teachers to update their skills and improve their performance.
- 1.1.2 The appraisal procedure will be used also to address any concerns that are raised about a teacher's performance. If concerns are such that they cannot be resolved through the appraisal process, there will be consideration of whether to commence the capability procedure.
- 1.1.3 The appraisals process should be intrinsically supportive and developmental, conducted within a school/federation culture that values openness and fairness. Appraisals should be a non-bureaucratic process that recognises, encourages and validates a teacher's commitment to professional development, pedagogical excellence and effective performance.

1.2 Responsibilities

1.2.1 Employees have responsibility:

- Participating in arrangements for their own appraisal in line with this appraisal policy and ensure that they understand their responsibilities and the arrangements within their school.
- Where applicable, appraise the performance of other teachers (as delegated by the school leader, and in accordance with the provisions of the School Teachers' Pay and Conditions Document (STPCD) on the payment of Teaching and Learning Responsibility payments (TLRs) for such duties that are allocated to teachers not part of the leadership group). In addition, full training to carry out this task will be provided, and it is expected that the teacher participates fully in the training.

1.2.2 School Leaders/Line Managers have responsibility:

- Ensure that all teachers are made aware of the policy and that they have the knowledge and skills to apply procedures fairly and effectively.
- Ensure that teachers are appraised in accordance with the school's appraisal policy and the relevant regulations.
- Moderate appraisal outcomes.
- Keep records of the decisions and recommendations in order to demonstrate that all judgements have been made objectively, and in compliance with the school's policy and equalities legislation.
- Ensure that teachers are notified in writing of any recommendations made and decisions reached.
- Ensure appraisers received suitable training and development to undertake this role.
- Ensure that appraisers alongside appraisees identify relevant sources of evidence, at the point of objective setting, including those that will routinely be gathered as part of normal school activity, including monitoring the quality of provision.

1.2.3 The governing body is responsible for:

- Adopt appraisal policies.



- Ensure robust appraisal policy is in place which has been workload impact assessed, to minimise impact on teacher and school leader workload.
- Agree the extent to which specific functions relating to the appraisal process will be delegated to others, such as the school leader.
- Monitor the outcome of appraisal decisions and check that processes operate fairly.
- Be responsible for ensuring appeals are managed in line with the school appraisal policy.
- Ensure eligible governors receive relevant training on the appraisal process.

1.3 Confidentiality & Professional Relationships

1.3.1 The appraisal process will be treated confidentially. Only those involved in the line management chain for the appraisee will be able to view the records, as and when necessary, in accordance with this policy.

1.3.2 The process of gathering evidence for performance review will not compromise normal professional relationships between teachers. The governing board recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking information from other colleagues about the work of the reviewee. However, the desire for confidentiality does not override the need for the Headteacher and governing board to quality-assure the operation and effectiveness of the appraisal system. The Headteacher or appropriate colleague might, for example, review all teachers' objectives and written appraisal records personally – to check consistency of approach and expectation between different appraisers.

1.4 Monitoring and Evaluation

1.4.1 The governing board and Headteacher will monitor the operation and effectiveness of the school's appraisal arrangements. The Headteacher will provide the governing board with a written report on the operation of the school's/Federation's appraisal and capability policies annually. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on:

- Race
- Sex
- Sexual Orientation
- Disability
- Religion and Beliefs
- Age
- Part-time Status
- Maternity and Pregnancy

1.4.2 The Headteacher will report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

1.5 Retention

1.5.1 The governing board and Headteacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.

1.6 Application of the appraisal policy

1.6.1 This policy applies to the Headteacher, including the School Leadership team and to all teachers (including unqualified teachers) employed at the school/Federation except those on



contracts of less than one term and those undergoing induction (i.e. Early Career Teachers - ECT) or teachers on capability procedures. Any where in this policy that refers to the word teacher, it includes all of the above.

- 1.6.2 Appraisal in this school/Federation 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. Care will be taken to ensure that appraisal and capability procedures are used in such a way as to avoid discrimination, with monitoring for equality purposes.
- 1.6.3 The appraisal process should be managed in a way that avoids increased workloads for all parties concerned, for example, reviewing the number and frequency of meetings and observations, and ensuring the process for collecting evidence is always proportionate.
- 1.6.4 The appraisal process should be supportive and developmental, conducted within a school culture that values openness and fairness. Throughout the appraisal cycle, teachers should receive informal feedback on their performance and development areas. There should be early dialogue with teachers that have emerging performance issues, with prompt support put in place to ensure teachers have the appropriate guidance and opportunity to improve in the relevant areas.

1.7 Appraisal period

- 1.7.1 The appraisal period will run for twelve months normally from September to August. Teachers who are employed on a fixed term contract of more than one term will have their performance managed in accordance with this policy. The length of the period will be determined by the duration of their contract. Where a teacher starts their employment at the school/Federation part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher the governing board, shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.
- 1.7.2 Where a teacher transfers to a new post within the school/Federation part-way through a cycle, the Headteacher or, in the case where the employee is the Headteacher the governing board, shall determine whether the cycle shall begin again and whether to change the appraiser.

1.8 Appraisal cycle

- 1.8.1 Autumn Term - All objectives, success criteria, and evidence to be used will be finalised between the appraiser and appraisee. If agreement cannot be reached, they are set by the appraiser. The appraisee can record their disagreement in writing which should then be taken into account at the review stage.
- 1.8.2 Spring and Summer term - Performance is reviewed against objectives and standards as set out in the school's appraisal policy (such as through lesson observations and ongoing professional dialogue between the relevant parties and mid-year reviews).
- 1.8.3 Summer and Autumn term - At the end of the appraisal year, teachers must receive an appraisal report which includes (amongst other things) an assessment against their



objectives and success criteria and the relevant standards. (Further information on this is in the Annual Assessment section).

1.9 Sickness

1.9.1 If long term sickness absence appears to have been triggered by monitoring of the employee's work performance, then the matter will be dealt with in accordance with the school's sickness policy and will normally be referred to the occupational health service to assess the member of staff's health and fitness for continued employment and the appropriateness or otherwise of continuing with monitoring. In certain circumstances, a meeting to discuss transition to capability can take place if the member of staff continues to be absent but the member of staff will first be given support and allowed reasonable adjustments, where possible, to enable them to return to work and if this does not succeed in helping the member of staff to return, then they will be given support to attend the transition to capability meeting with representation where possible' if requested.

1.10 Grievance

1.10.1 Where a member of staff raises a grievance during the appraisal or capability process, the appraisal or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and appraisal or capability cases are related it may be appropriate to deal with both in parallel.

2. Appraisal Process

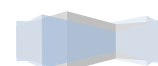
2.1 Appointing Appraisers

2.1.1 Appraisers of teachers, other than those appraising Headteachers, will normally be teachers and will be suitably trained. All appraisers who conduct observations of teaching should normally have Qualified Teacher Status. (QTS)

2.1.2 Head of School – Where the school is part of a federation then the executive Headteacher will usually be the appraiser of the heads of school in the Federation.

2.1.3 Headteacher – The Headteacher (or executive Headteacher in a federation) will be appraised by a sub-group of the Governing Board, supported by a suitably skilled and/or experienced external adviser who has been appointed by the Governing Board for that purpose. The sub-group will normally consist of three members of the Governing Board. Where a Headteacher/exec head is of the opinion that any of the governors appointed by the governing board is unsuitable to act as the appraiser, they may submit a written request for that governor to be replaced, stating the reasons for the request. The subgroup will set the Headteacher's/exec head's objectives after consultation with the external adviser and the Headteacher/exec head.

2.1.4 Teachers – The choice of appraiser is for the Headteacher/head of school to determine. Where teachers have an objection to the Headteacher's choice, their concerns will be carefully considered and, if appropriate, an alternative appraiser will be offered. All appraisers appointed by the Headteacher will normally be qualified teachers and will have current, recent and relevant teaching expertise. Where it becomes apparent that the appraiser appointed by the Headteacher will be absent for the majority of the appraisal cycle, the Headteacher may perform those duties or delegate the duties to another teacher for the



duration of that absence.

- 2.1.5 If the Headteacher appoints an appraiser who is not the teacher's line manager, the appraiser will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.
- 2.1.6 Where a teacher is experiencing difficulties and the Headteacher is not the appraiser, the Headteacher may undertake the role of appraiser. See also section on Teachers Experiencing Difficulties.

2.2 Setting Objectives

- 2.2.1 Objectives 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 (SMART) and will be appropriate to the appraisee's role and level of experience.
 - 2.2.2 In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, in line with the school's priorities and consistent with the school's strategy for achieving a work/life balance for all staff. Objectives and appraisal discussions will not be based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils. The appraisee can record their disagreement on the appraisal statement and this will be taken into account at the appraisal review
 - 2.2.3 The school operates a system of moderation to ensure that all appraisers are working to the same standards. Objectives will be moderated across the school to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Headteacher.
 - 2.2.4 The appraiser will consider individual circumstances, including any disability, when agreeing objectives. For example, this might include implementing a reasonable adjustment to give the appraisee more time to complete a task.
- 2.2.5 The agreed objectives will contain clear success criteria. Where use of numerical targets is appropriate, these will be reasonable, in the circumstances in which the teacher works and it will be recognised that factors outside teachers' control may affect success.
- 2.2.6 The number of objectives should be challenging but also achievable. Setting more than three objectives, using sub-targets, can make it difficult for teachers to adequately demonstrate achievement, therefore three objectives should also be seen as the norm.
- 2.2.7 The objectives set for each teacher are intended to contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school and will take into account the professional aspirations of the teacher. The appraiser will take into account the effects of an individual's circumstances, including any disability, when agreeing objectives. For example, this might include an adjustment to allow a disabled employee slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to



readjust to their working environment.

- 2.2.8 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. Teachers will be assessed against the appropriate set of standards contained in the most recent version of the document "Teachers' Standards" published by the Government. The Headteacher or governing board (as appropriate) will need to consider whether certain teachers should be assessed against other sets of standards published by the Secretary of State or other body that are relevant to them. For Qualified Teacher Learning and Skills (QTLS) holders, that may include the overarching professional standards for teachers in the lifelong learning sector. Additionally, an appraisee's/teacher's performance will not be influenced by Ofsted inspections/grading and/or any parental feedback.

2.3 Pay Progression

- 2.3.1 Performance is no longer related to pay outcomes/progression for teachers and leaders therefore, pay progression after an appraisal review will be automatic. However, the statutory requirements to make a pay decision following the completion of the appraisal process remains. Reviews should be deemed to be successful unless significant concerns about a teacher's performance have been raised in writing with the teacher during the annual appraisal cycle and have not been sufficiently addressed through support provided by the school by the conclusion of that process.
- 2.3.2 Governors are required to monitor the outcomes of the appraisal decisions and check that processes operate fairly.

2.4 Reviewing Performance – Observation

- 2.4.1 The effective and efficient operation of the appraisal process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation. Observation for appraisal should be planned, with sufficient notice given and a clear focus linked to agreed objectives. Objectives should be set following consultation with teachers and should be clearly defined, with appraisers and appraisees clear what success will look like and how progress will be measured.
- 2.4.2 Observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly. They will take account of particular circumstances which may affect performance on the day.
- 2.4.3 At least five working days' notice of the date and time of the observation will be given and verbal feedback provided by at least by the end of the next school day and written feedback within five working days.
- 2.4.4 Classroom observation will normally be carried out by qualified teachers. For the purposes of appraisal, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the school.
- 2.4.5 The number and duration of appraisal observations will be in accordance with the school/Federation's appraisal guidance, which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the



teacher requests additional observation visits.

- 2.4.6 Headteachers or other leaders with responsibility for learning and teaching standards may “drop in” to a teaching environment or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of “drop in” or other observations, and the notice to be given, will vary depending on specific circumstances but will be in accordance with the school’s classroom observation and drop-in policy.
- 2.4.7 For the purpose of professional development, feedback about lesson observations should be developmental. The school will use the findings of each observation, including appraisal observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed. Teachers (including the Headteacher) whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

2.5 Development and Support

- 2.5.1 Appraisal is a supportive process which will be used to inform continuing professional development. The school wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, through peer observation for example. Professional development will be linked to school improvement priorities and to the on-going professional development needs and priorities of individual teachers. The school’s/Federation’s CPD programme will be informed by the training and development needs identified as part of the appraisal process.
- 2.5.2 At the start of each academic year, teachers will be encouraged to consider, with their line managers, the professional and personal development they require to undertake their role and discuss the contribution they will make to support the school’s/federation’s improvement/development plan.
- 2.5.3 The governing board will ensure in the budget planning that, as far as possible, resources are made available in the school budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis.
- 2.5.4 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Headteacher’s annual report to the governing board about the operation of the appraisal process in the school.
- 2.5.5 With regard to the provision of CPD in the case of competing demands on the school budget, a decision on relative priority will be taken with regard to the extent to which:
- The training and support will help the school/Federation to achieve its priorities and;
 - The CPD identified is essential for an appraisee to meet their objectives.
- 2.5.6 Account will be taken in a review meeting of where it has not been possible for teachers to meet fully their performance criteria because the support recorded in the planning statement has not been provided.



2.6 Reducing workload throughout the appraisal process

- 2.6.1 Teachers, school leadership and governors all have a role to play to minimise the workload burden and staff. A fundamental principle that schools/federations should take into account when developing and implementing pay and appraisal policies is the need to minimise the impact on workload for individual teachers, line managers and school leaders. Schools/Federations could consider using the workload reduction toolkit¹.
- 2.6.2 Policies and processes should be proportionate and use evidence in appraisal decisions that is readily available from day-to-day practice in school. It should not be necessary for staff to collate large portfolios of evidence for appraisal purposes. Schools/Federations should consider the benefits of using online or electronic performance management solutions to help provide a streamlined approach which can not only reduce workload and save time for leaders and teachers, but can also assist with identifying and targeting CPD needs, empowering staff to take control of their professional growth and allowing leaders to track impact on school priorities. Schools should ensure that all teachers are treated fairly, including those teachers who have different working patterns or those with particular protected characteristics under the Equality Act 2010.

3. Annual Assessment

- 3.1 Each teacher's performance will be formally assessed in respect of each appraisal period. 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 (e.g. once a term).
- 3.2 In assessing the performance of the Headteacher, the Governing Board must consult the external adviser.
- 3.3 Following the end of each appraisal period teachers will receive a written appraisal report which they will have the opportunity to comment on.
- 3.4 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 against the relevant standards;
 - An assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
 - A space for the teacher's own comments
 -
- 3.5 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances an interim review meeting may be appropriate.
- 3.6 In the review meeting, in addition to assessing a teacher's achievement of objectives, it is important for line managers to also discuss workload, wellbeing, working hours, flexible

¹ [Workload reduction toolkit - Improve workload and wellbeing for school staff \(education.gov.uk\)](https://www.education.gov.uk/workload-reduction-toolkit)



working opportunities, and career aspirations in a supportive manner. This can help the teacher identify strategies to effectively manage their workload and wellbeing, as well as provide feedback to management for further improvement and retention. The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.

- 3.7 Teachers' performance will be assessed against the relevant teacher standards to a level that is consistent with what should reasonably be expected of a teacher in the relevant role and at the relevant stage of their career. School leaders and other appraisers should use their professional judgement when appraising teachers' performance. It is not necessary for schools to adopt rigid models that seek to set out exactly what the relevant standards mean for teachers at different stages in their careers and teachers should not be expected routinely to provide evidence that they meet all the standards.

4. Teachers Experiencing Difficulties

4.1 Teachers experiencing difficulties

- 4.1.1 Except in the most serious cases of persistent failures to meet job expectations and teaching standards, resulting in negative consequences on the pupils and organisation, teachers should not ordinarily be placed in capability procedures without first undergoing a period of informal support as part of the appraisal process.
- 4.1.2 From time to time, a teacher may experience performance issues at work for a variety of reasons. If this happens, the aim should be to identify the root cause and provide them with appropriate training, support, and development opportunities through the appraisal process to help improve the teacher's performance and resolve the issues.
- 4.1.3 When dealing with a teacher experiencing difficulties, the objective is to provide support and guidance through the appraisal process in such a way that the teacher's performance improves and the problem is, therefore, resolved. The implication of insufficient progress should be clearly explained to the teacher. Concerns arising as a result of ill health will be dealt with under the school's sickness policy.
- 4.1.4 Where it is apparent that a teacher's personal circumstances are leading to difficulties at school, support will be offered as soon as possible, without waiting for the formal annual assessment.
- 4.1.5 If an appraiser identifies through the appraisal process, or via other sources of information, for example parental complaints, that the difficulties experienced by a teacher are such that, if not rectified they could lead to capability procedures, the appraiser, (the Headteacher, or a member of the leadership team), will, as part of the appraisal process meet the teacher to inform them that they are going to be receiving informal support due to performance concerns and provide:
- Clear written feedback to the teacher about the nature and seriousness of the concerns;
 - The opportunity for the teacher to comment on and discuss the concerns;
 - At least five working days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support



- An action plan devised in consultation with the teacher at the above meeting. The plan should include details of the support that will be provided (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), to help address those specific concerns;
- Clarification as to how progress will be monitored and when it will be reviewed; an explanation of the process that will be put in place if insufficient improvement is made.
- Explanation of the implications and process if no, or insufficient, improvement is made – e.g. commencement of capability procedure.

4.1.6 Informal support should be provided for a reasonable period to allow for performance improvement. Schools could decide this is a minimum of 6 weeks. However, the duration will be determined based on the specific circumstances, with appropriate support in place to facilitate improvement. The appraiser should meet with the teacher regularly to assess progress and ensure the agreed-upon support is being provided.

4.1.7 The teacher’s progress will continue to be monitored as part of the appraisal process within a reasonable timescale for the teacher’s performance to improve according to individual circumstances. During this monitoring period the teacher will be given regular feedback on progress and arrangements will be made to modify the support programme if appropriate. If sufficient progress is made such that the teacher is performing at a level that indicates there is no longer a possibility of capability procedures being invoked the teacher should be informed of this at a formal meeting with the appraiser or Headteacher. Following this meeting the appraisal process will continue as normal.

4.2 Transition to capability

If a teacher demonstrates serious under performance or in the event that insufficient improvement has been made over this period, i.e. not responded to support provided within the informal support process. The teacher will be invited to a transition meeting to determine whether formal capability proceedings need to be commenced, or the appraisal process remains in place. The teacher may be assisted by a trade union representative or work colleague and will have at least 5 working days’ notice of the meeting.

5. Appeals and Review

5.1 Appraisees may request a review in respect of any of the entries in the written appraisal report. The request will be made in writing to the appraiser.

5.2 Where the Headteacher has not been recommended for pay progression they will be informed of this by the appropriate governor. The Headteacher has a right of appeal in this respect as set out in the pay policy.

5.3 Where a teacher has not been recommended for pay progression they will be informed of this by the Headteacher or person delegated by the Headteacher. The teacher will be advised of the date when the Governing Board meets to consider pay recommendations, following which the teacher may exercise the right of appeal as set out in the pay policy.



6. Approval and Variation Process

6.1 Where the School/Council wishes to amend this policy, it will consult with the relevant trade unions with a view to reaching agreement over the proposed amendment(s). This policy may be amended by agreement with the relevant trade unions at any time. Where agreement has not been reached with the relevant trade unions arising from consultations, the School/Council reserves the right to implement its proposed amendment(s) by giving one month's notice to employees of its proposal(s).

This Policy is approved and signed by:



Director, Education & Learning

Name: Abrilli Phillip

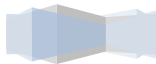
Date: December 2024

This policy has been signed off by the branch secretaries of; GMB, NAHT, NASUWT, NEU, Unite and Unison in December 2024.

Chair of Governors of School or Federation

Name:

Date:



Appendix 1 – Version Details.

	Version date: November 2024
Section	Summary of changes from 2022 version.
Section 1.1	Expansion on appraisal process being supportive
Section 1.2	Added section on responsibilities held by all parties (employees, school leaders and governors)
Section 1.6	Clarification on the policy covering school leaders and elaboration on the appraisal process not increasing workload and being supportive, developmental, etc.
Section 1.8	Added section on appraisal cycle
Section 2.2	Clarification on setting of the objectives
Section 2.3	Removal of performance related pay and explanation of this
Section 2.5.2	Additional information on development and support
Section 2.6	Added section on reducing workload and well-being throughout the appraisal process
Section 3	Additional information on annual assessment
Section 4	Additional information on teachers experiencing difficulties
	Version date: November 2022
Section	Summary of changes from 2012 version.
Section 1.2.2	Clarifying position in relation to confidentiality
Section 1.5.1	Clarity around appraisal being for all teachers incl. unqualified
Section 1.7	Clarifying issues re sickness leave
Section 5	Clarifying process for review/appeal
All	Adding a reference to Federation structure – head of school/exec heads.
Appendix 1	Added a version history section.
	Revised order to improve chronological flow.
	Formatting changes.
	Minor changes.

Date of agreement with trade unions: December 2024

Scheduled review date: 5 years from agreement with trade unions.

