



Performance Appraisal Policy for Teachers'

Hertfordshire County Council

Children, Schools and Families

Model Policies for Schools

Department: Schools' HR Advisory Team
Author: Ruth Alinek
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1. Introduction

'The single most important factor in ensuring a good education for every child is that they have a good teacher.' *Consultation on changes to PM arrangements, May 2011*

Performance management recognises and values teachers' strengths and supports them in developing their expertise so that they can be even more effective. As such, it is at the very heart of school improvement. All teachers need regular feedback on their professional practice and some will, at times, need support to develop areas of weakness.

The new school inspection framework for maintained schools and academies has a greater focus on the quality of teaching and its impact on learning and progress. Inspectors are looking ever more closely at how well schools monitor and evaluate the difference that they are making. Here, too, appraisal has a key role to play in providing evidence that the school can, and does, make a difference. Inspectors are asking to see anonymised objectives in order to check their relevance and classroom impact. It is especially important under the new framework that the appraisal process is used systematically to ensure that any elements of teaching that are less than good are being addressed through the provision of appropriate support.

The commitment of support staff to the work of our schools is a key factor in achieving success. They are increasingly expected to take on wider and deeper roles both in support of teaching and learning and in many other aspects of the school's work. To help them perform these roles effectively, and to recognize their achievements, they too need a rigorous and constructive annual appraisal process linked to individual development planning.

This policy and its accompanying procedures seek to ensure that all members of school staff feel the annual appraisal made of them is fair and consistent and that they are properly supported in their professional development. It complies fully with new statutory regulations for teacher appraisal whilst offering schools flexibility to tailor the policy and procedures to meet their differing individual needs. With additional appendices relating to support staff appraisal, it offers a comprehensive and practical package for Hertfordshire schools.

2. Further Guidance and Training

The national model teacher appraisal and capability policy acknowledges that the 2012 Appraisal Regulations "allow schools more freedom to design arrangements to suit their own individual circumstances". The Hertfordshire policy therefore aims to provide a fair and consistent overall framework within which schools can operate. It is understood that both local networks and individual schools may wish to commission further specialist help in finalising policy wording and establishing procedures and paperwork for September 2012 and beyond

Support for individual schools'

Schools' HR offers a bespoke consultancy service to individual schools on all aspects of teachers' and support staff appraisal. For further details or to discuss your school's requirements, please contact Ruth Alinek via Schools' HR (01438 844875)
www.thegrid.org.uk/schoolworkforce/human_resources/

Standards & School effectiveness CPD Courses

Courses relevant to teachers' and support staff appraisal are publicised in the termly Continuing Professional Development brochure and online at:
www.thegrid.org.uk/schoolworkforce/training



Support for School Networks

Educate Services, which worked with the local authority in formulating this policy, is able to provide support to school networks through its Head Support Division, (01530 563442 hazelflamson@educateservices.co.uk)

As well as being able to advise on issues connected with policy wording and implementation, the company has also updated its AESOPP performance management materials to enable schools to conduct audits against the new standards, report on the outcomes, and frame standards-related appraisal objectives as required by the 2012 Regulations

3. Part A: Policy for Appraising Teacher Performance

In formulating its policy, the governing body has taken account of the principles set out in the Introduction to the national model policy and retained all text in bold from the main body of the model policy itself.

The Governing Body of Amwell View School and Specialist Sports College adopted this policy on Monday 24th September 2012.

It will be reviewed it in two years, from the date of adoption.

4. Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the head teacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected of teachers. It also sets out the arrangements that will apply when teachers fall below the levels of competence that are expected of them.

5. Application of the Policy

- 2.1 The policy covers appraisal, applies to the head teacher and to all teachers employed by the school or local authority, except those on contracts of less than one term, those undergoing induction (i.e. NQTs) and those who are subject to the school's capability policy.
- 2.2 Throughout this policy, unless indicated otherwise, all references to 'teacher' include the head teacher.
- 2.3 The principles of this policy also apply to all members of support staff employed by the school, with the exceptions indicated in 2.1. Details of the appraisal process as it applies to support staff are to be found in a separate policy, Part B of this publication.

6. Teacher Appraisal

**3**

- 3.1** Appraisal in this school 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. The appraisal period**3.2**

The appraisal period will run for twelve months from 1 September to 31 August

- 3.2.1** The annual audit against national standards will be completed no later than 31st July in each appraisal period
- 3.2.2** 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.

8. Appointment of Appraisers**3.3**

- 3.3.1** The head teacher 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.
- 3.3.2** In this school the task of appraising the head teacher, including the setting of objectives, will be delegated to a sub-group consisting of at least two members of the Governing Body, but no more than three.
- 3.3.3** The head teacher will decide who will appraise other teachers. In this school, this will normally include
- The head teacher
 - A member of the senior leadership team
 - The teacher with a clear line management overview of a teacher's work

9. Setting Objectives**3.4**

- 3.4.1** The head teacher's objectives will be set by the Governing Body after consultation with the external adviser. Objectives will be focused on key school priorities and take account of the relevant head teacher standards
- 3.4.2** Objectives for each teacher, including the head 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 linked to the relevant standards, 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, and the teacher may record their comments in writing as an appendix to the appraisal statement. Objectives may be revised if circumstances change.

3.4.3 The objectives set for each teacher, including the head teacher, will, if achieved, contribute to the school's plans for improving the school's educational provision and performance and improving the education of pupils at that school. This link will be made:

- By ensuring that the pupil progress objective (all teachers) addresses the key attainment priority identified by the school improvement plan;
- By ensuring that the professional development objective (all teachers) addresses the key development priority identified by the annual audit against teacher standards (see Appendices A and B);
- By ensuring that the leadership and management objective (all teachers with paid leadership responsibilities) addresses the key development priority identified by consideration of each leader's impact on relevant school improvement priorities – with reference to any relevant leadership standards.

3.4.4 Under normal circumstances teachers will have a maximum of 4 objectives as indicated above. However, teachers who are found not to be meeting standards at the appropriate level for their career stage (Appendix B) by the annual standards audit (Appendices A and B) may be given as many additional objectives as are required to ensure that the most appropriate support can be provided.

3.4.5 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. All teachers will be assessed against the set of standards contained in the document called "Teachers' Standards" published in July 2011.

3.4.6 The head teacher will be responsible for ensuring that the appraisal process operates consistently, that objectives are focused on school priorities and that they take account of the standards audit. All objectives will be referred to the head teacher prior to the commencement of the cycle of monitoring. Where the head teacher has concerns about the relevance of the objectives set, these concerns will be discussed with the appraiser. The objectives may require amendment following discussion with the teacher.

10. Reviewing Performance

3.5

3.5.1 Observation

This school believes that observation of classroom and leadership practice is important both as a way of assessing teachers' performance



in order to identify any particular strengths and areas for development they may have and of gaining useful information which can inform school improvement more generally. All observation will be carried out in a supportive fashion by those with QTS.

3.5.2 In this school teachers' performance will be regularly observed but the amount and type of classroom observation will depend on the individual circumstances of the teacher and the overall needs of the school. Classroom observation will be carried out by those with QTS. In addition to formal observation, head teachers 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. Teachers (including the head teacher) who have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.

3.5.3 **Development and support**

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. Professional development will be linked to school improvement priorities and to the ongoing professional development needs and priorities of individual teachers as detailed in the section on "Setting Objectives" above.

3.5.4 **Feedback**

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. Feedback will include discussion with the teacher, will highlight particular areas of strength as well as any areas that need attention and will determine any appropriate action required.

3.5.5 Where, following the audit against teacher standards or during the review cycle, there are concerns about any aspects of the teacher's performance these will be addressed via the procedure set out in Appendix E

3.5.6 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.

11. Transition to Capability

3.6 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's capability procedure.



12. Annual Assessment

3.7

- 3.7.1 Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the head teacher, the Governing Body will consult the external adviser.
- 3.7.2 This assessment is the end point of the annual appraisal process, but performance and development priorities will be reviewed and addressed on a regular basis throughout the year by means of (delete those that do not apply):
- Lesson observations;
 - Planning and work scrutiny;
 - Termly meeting with appraiser;
 - Mid-cycle review meeting with appraiser;
 - Observation / scrutiny of leadership and management activities where appropriate;
 - Other feedback obtained during the cycle relevant to the teacher's overall performance.
- 3.7.3 As soon as practicable following the end of each appraisal period, the teacher will receive – and have the opportunity to comment in writing on - a written appraisal report. In this school, teachers, will receive their written appraisal reports no later than 31 October. The head teacher's report will be received by no later than 1st December. 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;
 - 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 where that is relevant.
- 3.7.4 The assessment of performance and of training and development needs will inform the planning process for the following appraisal period.
- 3.7.5 Any recommendations on pay will be referred to the head teacher before being referred on to the Governing Body. N.B. Under current regulations it is the reviewer who makes recommendations regarding upper pay spine progression. These regulations will be superseded on 1st September 2012 by the new statutory regulations after which date recommendations may be referred to the head teacher as recommended here. In all cases, this would be our advice so that head teachers may moderate decisions made by appraisers. Head teachers are advised to ensure appraisers do not commit to an outcome regarding pay progression until after moderation.



13. Confidentiality

3.8

Access to the written appraisal report will normally be limited to the appraisee, the appraiser, the head teacher and the senior management team.

14. Equality and Consistency

3.9

3.9.1 As outlined in paragraph 3.4.6 above, the head teacher will have overall responsibility for the quality assurance of the appraisal process across the school. This will include ensuring the consistency and equality of application of the process throughout the school. The head teacher may delegate responsibility for monitoring consistency and equality of application to a teacher member of the senior management team.

3.9.2 The head teacher will be responsible for reporting regularly to the governing body on any relevant issues, including those of underperformance, arising from the annual review cycle and on any action required to address those issues. The report will enable governors to receive an overall general report of the process but will not include specific details relating to individual members of staff.

3.9.3 The Governing Body is committed to ensuring consistency of treatment and fairness and will abide by all relevant equality legislation.

15. Retention of Statements

3.10

The Governing Body and head teacher will ensure that all written appraisal records are retained in a secure place for six years and then destroyed.



16. Appendix A: National Standards Audit



CONFIDENTIAL

**TEACHERS' STANDARDS AUDIT
AND PROFESSIONAL DEVELOPMENT OBJECTIVE PLANNER**

NAME..... PAY POINT..... DATE.....

Standard	+*	-*
1.1. Set high expectations which inspire, motivate and challenge pupils 1. Establish a safe and stimulating environment for pupils, rooted in mutual respect 2. Set goals that stretch and challenge pupils of all backgrounds, abilities and dispositions 3. Demonstrate consistently the positive attitudes, values and behaviour which are expected of pupils		
1.2. Promote good progress and outcomes by pupils 1. Be accountable for pupils' attainment, progress and outcomes 2. Plan teaching to build on pupils' capabilities and prior knowledge 3. Guide pupils to reflect on the progress they have made and their emerging needs 4. Demonstrate knowledge and understanding of how pupils learn and how this impacts on teaching 5. Encourage pupils to take a responsible and conscientious attitude to their own work and study		
1.3. Demonstrate good subject and curriculum knowledge 1. Have a secure knowledge of the relevant subject(s) and curriculum areas, foster and maintain pupils' interest in the subject and address misunderstandings 2. Demonstrate a critical understanding of developments in the subject and curriculum areas, and promote the value of scholarship		

***+ area where you may be able to help others; - area where you may need help from others**

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Standard	+	-
1.3 (cont'd) 3. Demonstrate an understanding of and take responsibility for promoting high standards of literacy, articulation and the correct use of standard English, whatever the teacher's specialist subject 4. If teaching early reading, demonstrate a clear understanding of systematic synthetic phonics 5. If teaching early mathematics, demonstrate a clear understanding of appropriate teaching strategies		
1.4. Plan and teach well structured lessons 1. Impart knowledge and develop understanding through effective use of lesson time 2. Promote a love of learning and children's intellectual curiosity 3. Set homework and plan out-of-class activities to consolidate and extend the knowledge and understanding pupils have acquired 4. Reflect systematically on the effectiveness of lessons and approaches to teaching 5. Contribute to the design and provision of an engaging curriculum within the relevant subject area(s)		
1.5. Adapt teaching to respond to the strengths and needs of all pupils 1. Know when and how to differentiate appropriately, using approaches which enable pupils to be taught effectively 2. Have a secure understanding of how a range of factors can inhibit pupils' ability to learn and how best to overcome these 3. Demonstrate an awareness of the physical, social and intellectual development of children, and know how to adapt teaching to support pupils' education at different stages of development 4. Have a clear understanding of the needs of all pupils, including those with special educational needs; those with high ability; those with English as an additional language; those with disabilities; and be able to use and evaluate distinctive teaching approaches to engage and support them		

*+ area where you may be able to help others; - area where you may need help from others

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Standard	+	-
<p>1.6 . Make accurate and productive use of assessment</p> <ol style="list-style-type: none"> 1. Know and understand how to assess the relevant subject and curriculum areas, including statutory assessment requirements 2. Make use of formative and summative assessment to secure pupils' progress 3. Use relevant data to monitor progress, set targets, and plan subsequent lessons 4. Give pupils regular feedback, both orally and through accurate marking, and encourage pupils to respond to the feedback 		
<p>1.7 Manage behaviour effectively to ensure a good and safe learning environment</p> <ol style="list-style-type: none"> 1. Have clear rules and routines for behaviour in classrooms, and take responsibility for promoting good and courteous behaviour both in classrooms and around the school, in accordance with the school's behaviour policy 2. Have high expectations of behaviour, and establish a framework for discipline with a range of strategies, using praise, sanctions and rewards consistently and fairly 3. Manage classes effectively, using approaches which are appropriate to pupils' needs in order to involve and motivate them 4. Maintain good relationships with pupils, exercise appropriate authority and act decisively where necessary 		
<p>1.8 Fulfil wider professional responsibilities</p> <ol style="list-style-type: none"> 1. Make a positive contribution to the wider life and ethos of the school 2. Develop effective professional relationships with colleagues, knowing how and when to draw on advice and specialist support 3. Deploy support staff effectively 4. Take responsibility for improving teaching through appropriate professional development, responding to advice and feedback from colleagues 5. Communicate effectively with parents with regard to pupils' achievements and well-being 		

***+ area where you may be able to help others; - area where you may need help from others**

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Part 2 Personal and Professional Conduct The following statements define the behaviour and attitudes which set the required standard for conduct throughout a teacher's career	+**	-**
<p>2.1. Teachers uphold public trust in the profession and maintain high standards of ethics and behaviour, within and outside school, by:</p> <ol style="list-style-type: none"> 1. Treating pupils with dignity, building relationships rooted in mutual respect, and at all times observing proper boundaries appropriate to a teacher's professional position 2. Having regard to the need to safeguard pupils' well-being, in accordance with statutory provisions 3. Showing tolerance of and respect for the rights of others 4. Not undermining fundamental British values, including democracy, the rule of law, individual liberty and mutual respect, and tolerance of those with different faiths and beliefs 5. Ensuring that personal beliefs are not expressed in ways which exploit pupils' vulnerability or might lead them to break the law <p>2.2 Teachers must have a proper and professional regard for the ethos, policies and practice of the school in which they teach, and maintain high standards in their own attendance and punctuality</p> <p>2.3 Teachers must have an understanding of, and always act within, the statutory frameworks which set out their professional duties and responsibilities</p>		
Preamble	+**	-**
<ul style="list-style-type: none"> • Teachers make the education of their pupils their first concern, and are accountable for achieving the highest possible standards in work and conduct. Teachers act with honesty and integrity; have strong subject knowledge; keep their knowledge and skills as teachers up-to-date and are self-critical; forge positive professional relationships; and work with parents in the best interests of their pupils 		

**** + performance in line with expectations - performance may be below expectations**

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**HERTFORDSHIRE
NATIONAL STANDARDS AUDIT
INITIAL ASSESSMENT**

Confidential

Name Pay Point Date Self/School Assessment Page 2

Professional Area	Relevant Standards	M2	M4	M6	UPS 1	UPS 3	+	-	Standards For Professional Dialogue
PROFESSIONAL DEVELOPMENT	1.2(4,5) 1.3(1,2,4,5) 1.4(5) 1.5(2,3,4) 1.6(1) 1.8(4) 2.1(2) 2.3 Preamble	Able, with support, to identify key professional development needs and improve practice in line with advice and feedback	Takes a proactive role in accessing relevant support and professional development from colleagues	Fully competent practitioner; keeps up-to-date with changes; adapts practice accordingly	Plays a proactive role in leading the professional development of key stage or departmental colleagues	Plays a proactive role in leading the professional development of colleagues across the school			
PROFESSIONAL CONDUCT	1.1(3) 1.7(1) 1.8(1) 2.1(all) 2.2 2.3 Preamble	Meets all standards	Meets all standards	Meets all standards	Meets all standards	Meets all standards			

+ Performance may exceed career stage expectations - Performance may be below career stage expectations

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Appendix C – Procedure for Conducting National Standards Audits

C1 The aim of the annual audit against national standards, as required by the regulations, will be to identify – through professional dialogue - the standards which represent the most appropriate areas for professional development for individual teachers in the forthcoming appraisal cycle. Wherever possible, these audits will take place in the Summer Term, so that the most helpful professional development performance management objectives can be identified – and any necessary arrangements made – in good time for the new school year.

C2 The 2012 Appraisal Regulations [Para 6 (a)] require head teachers “to inform the teacher of the standards against which the teacher’s performance in that appraisal period will be assessed”. It follows from this that the school needs to adopt a fair and evidence-based procedure for deciding whether or not standards are met. The head teacher has a key role to play in ensuring that judgments are consistent across the school.

C3 The key stages of the procedure are as follows:

- Time will be provided for teachers to conduct a self-audit against the National Standards (Preamble, Part 1 and Part 2) at the level indicated by the agreed career stage expectations set out in Appendix B;
- Each teacher’s appraiser paired with the head teacher/appropriate senior leadership team member will complete the audit in exactly the same way. Wherever this pair indicates that performance may not be at the level required, either or both will need to be in a position to back up their judgement by reference **either** to written evidence previously shared with the teacher indicating that a standard **is not** met, or by reference to a lack of positive evidence that a standard **is met**;
- The audits will then be exchanged. At least a week will be allowed for the teacher and the appraiser/SLT member to assemble any necessary evidence;
- Teacher and appraiser will then attend a Professional Dialogue meeting of 45-60 minutes. The aim of the meeting will be to agree the standards against which the teacher’s performance will be assessed in the next appraisal cycle. Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that all relevant standards are met, the teacher will be free to identify the national standard against which s/he would like to be assessed by means of the professional development objective;



- Where the initial audit (or examination of evidence at the Professional Dialogue meeting) results in agreement that particular standards are not met, these standards will become those against which the teacher's performance will be assessed in the next appraisal cycle;
- Where teacher and appraiser cannot reach agreement as to whether or not a standard is met, the matter will be referred to the head teacher, who will meet with the teacher, consider all available evidence, and inform the teacher of their decision;
- A teacher dissatisfied with the head teacher's decision will have the right of appeal to governors under existing procedures;
- The objectives decided at or following the Professional Dialogue Meeting will form the basis of next year's planning and review statement.



Appendix D: Provision of Additional Support Where National Standards Are Not Met (Standards Support Programme)

- D1** Where national standards are found not to be met at the appropriate career stage during the audit, special arrangements will be made to ensure that the appropriate support can be provided. These may include:
- The appointment of an appraiser from the senior leadership team;
 - The setting of an appropriate number of additional performance management objectives above the school norm;
 - Further lesson observations, many or all of which may be unannounced.
- D2** Where information comes to light during the course of an appraisal cycle that leads the head to conclude that national standards are not met at the appropriate career stage expectation level, these new arrangements (as outlined in D1 above), which may include a change of appraiser, will come into force as soon as possible after the decision has been made.
- D3** Where national standards are identified as not being met at the appropriate career stage expectation level by either means, performance objectives will be action planned to a much shorter timescale – typically one term, but less if the head decides the situation warrants this. At the end of each such period, progress will be reviewed – and a decision made on whether:
- To end the support programme and resume normal appraisal arrangements;
 - To continue to provide support within appraisal by setting further short-term objectives;
 - To suspend performance appraisal and move immediately into the formal capability procedure.



APPENDIX E : Teachers’ Planning and Review Statement and Annual Appraisal Report

Teacher’s Name _____

Appraiser’s Name _____

Teacher’s Signature:

Appraiser’s Signature:

Meeting Date:

Individual Objectives	Actions	Observation details/other evidence	Impact Measures/Success Criteria
1. Pupil Progress			
2. Professional Development			
3. Leadership and Management			
Training and Development/Support Needs			



Review of previous performance

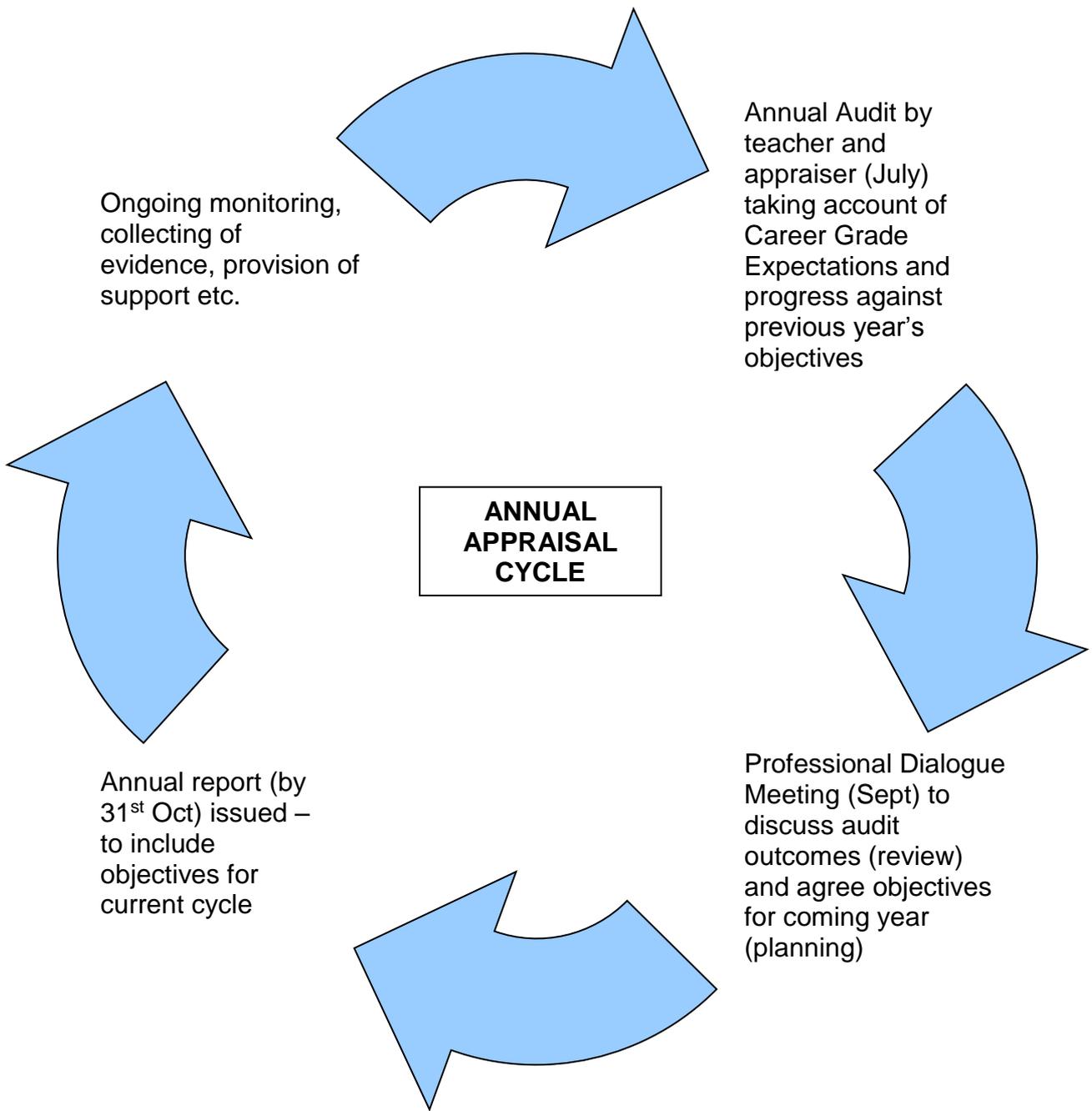
Individual Objectives	Career Stage	Related Standards	Assessment of performance

Outcome of annual audit against Standards – as identified at the start of the appraisal cycle	Numbers of Standards Met and/or Exceeded	Numbers of Standards not yet Met

Recommendation on pay progression where applicable	
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APPENDIX F : Flowchart of Annual Appraisal Cycle





APPENDIX G: The National Standards Publication

Available to download free from the DfE website:

<https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DFE-00066-2011>