



Appraisal Policy (Schools)

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Introduction

Appraisal arrangements for Teachers came into force on 1 September 2012. They are set out in the Education (School Teachers' Appraisal) (England) Regulations 2012 (the Appraisal Regulations)

This policy combines statutory requirements, recommendations from the DfE's model policy (July 2024) and good practice.

Throughout the policy, text in bold indicates statutory requirements contained in the Appraisal Regulations or the School Staffing Regulations.

Purpose

This policy sets out the framework for a clear and consistent assessment of the overall performance of teachers, including the Headteacher, and for supporting their development within the context of the school's plan for improving educational provision and performance, and the standards expected for teachers.

Where applicable, this policy should be read in conjunction with the school's pay policy which provides details of the arrangements relating to teachers' pay in accordance with the STPCD.

Scope

The Appraisal Regulations set out the principles that apply to teachers and school leaders in all maintained schools and centrally employed (or unattached) teachers employed by a local authority, in each case where they are employed for one term or more. These regulations do not apply to any teacher undergoing an induction period (i.e. ECTs) or those who are subject to capability procedures.

Whilst appraisal for teachers is covered by statute, there are no such arrangements for support staff in schools. It is recognised, however, that some schools may have appraisal processes in place for support staff, which may, for example, relate to standards for particular job roles. Schools should continue to use such arrangements where they exist.

It is also good practice for academies to follow the appraisal regulations, although they are not legally required to do so. Any reference to Headteacher and Governing body applies to CEO, and / or Board of trustees.

Appraisal

Introduction

Appraisal in the school is a supportive and developmental process, conducted within a school culture that values openness and fairness. Appraisal should be a non-bureaucratic process that recognises, encourages and validates a teacher's commitment to professional development, pedagogical excellence and effective performance. It has been designed to ensure that all teachers have the skills and support they need to carry out their role effectively and achieve their objectives and meet the Teacher Standards. The appraisal will offer a supportive and safe environment where teachers and their line managers can have an open and honest conversation about their successes and areas for improvement.

Teachers will receive constructive feedback on their performance throughout the year. Where there are concerns about any aspects of the teacher's performance, at any point during the appraisal process, these will be addressed informally in the first instance. Such concerns will be treated fairly and objectively as part of the appraisal process and before any capability procedures are considered. This may include mentoring, training, and resources to address the specific needs of the individual.

Where a teacher has not achieved an adequate level of performance, the teacher will be informed that the appraisal process will stop, and their performance will be managed in line with the capability procedure.

All teachers will be assessed against the "Teachers' Standards" published by the Department for Education in July 2011. Depending on their grade, some teachers may also be assessed against other relevant professional standards applicable to their role (for example the post threshold teacher standards).

The Appraisal Period

The appraisal period will run for a period of 12 months.

The appraisal period in this school will run from _____ to _____ for teachers, and from _____ to _____ for the Headteacher.

An annual assessment will take place at the end of, or soon after the end of, the appraisal period. Following this a **written appraisal report** will be produced for the teacher concerned; teachers will receive their appraisal reports by 31 October, and Headteachers will receive theirs by 31 December.

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 the provisions of this policy. **The length of the period will be determined by the duration of their contract and an individual teacher's objectives should take account of the length of the contract.**

Where a teacher starts their employment at the school part-way through the appraisal period, the Headteacher or, in the case of the Headteacher the Governing Body, shall determine the length of the first appraisal period for that teacher, with a view to bringing them into line with the period for other teachers at the school as soon as possible.

Where a teacher transfers to a new post within the school part way through the appraisal period, the Headteacher or, in the case where the teacher is the Headteacher, the Governing Body, shall determine whether the appraisal period shall begin again and whether to change the appraiser.

Appointment of Appraisers for the Headteacher

The Headteacher /CEO of the trust 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.

In this school, the appraisal of the Headteacher, including the setting of objectives, will be delegated to a sub-group of the Governing Body as follows:

Option 1*	Two or three* governors who will be supported by the External Adviser.
Option 2* (for schools with a religious character)	Two or three* governors of which _____ (at least one) will be a foundation governor, who will be supported by the External Adviser.
Option 3* (for Voluntary Aided Schools)	• two governors of which _____ (at least one) will be a foundation governor, who will be supported by the External Adviser; or • Three governors of which _____ (at least two) will be foundation governors, who will be supported by the External Adviser.

(* Delete as appropriate)

Where a Headteacher is of the opinion that any of the governors appointed by the Governing Body under this regulation is unsuitable for professional reasons, they may submit a written request to the Governing Body for that governor to be replaced, stating those reasons.

Appointment of Appraisers for Teachers

In the case where the Headteacher is not the teacher's line manager, the Headteacher may delegate the duties imposed upon the appraiser, in their entirety, to the teacher's line manager.

In this school the Headteacher has decided that:

Option 1*	The Headteacher will be the appraiser for all teachers in this school.
Option 2*	The Headteacher will be the appraiser for those teachers they directly line manage and will delegate the role of appraiser, in its entirety, to the relevant line managers for some or all other teachers. Where the Headteacher has chosen option 2, then: • line managers will be the appraisers for all those teachers they line manage*; or • the maximum number of reviews that any line manager will be expected to undertake per period is _____*.

(* Delete as appropriate)

Where a teacher has more than one line manager, the Headteacher will determine which line manager will be best placed to manage and review the teacher's performance.

If Option 2 is considered, the Headteacher will either:

(a) moderate all appraisal reports to check that the plans recorded for teachers at the school:

- are consistent between those who have similar experience and similar levels of responsibility.
- and comply with the school's appraisal policy, the statutory regulations and the requirements of equality legislation; or

(b) moderate a sample of appraisal reports to check that the plans for teachers at the school:

- are consistent between those who have similar experience and similar levels of responsibility; and
- comply with the school's appraisal policy, the statutory requirements and the requirements of equality legislation; or

Where a teacher is of the opinion that the person to whom the headteacher has delegated the appraiser's duties is unsuitable for professional reasons, they may submit a written request to the Headteacher for that appraiser to be replaced, stating those reasons.

Where it becomes apparent that the appraiser will be absent for the majority of the appraisal period or is unsuitable for professional reasons, the Headteacher may perform the duties themselves or delegate them in their entirety to another teacher. Where this teacher is not the appraisee's line manager, the teacher will have a status in the staffing structure which is equivalent to or higher than the teacher's line manager.

An appraisal cycle will not begin again in the event of the appraiser being changed.

All line managers to whom the Headteacher has delegated the role of appraiser will receive appropriate preparation for that role.

Objective Setting

The Headteacher's/ CEO of the trust's objectives will be set by the Governing Body after consultation with the External Adviser.

Objectives for each teacher will be set before, or as soon as practicable after, the start of each appraisal period.

The school leader and / or the Governing Body have a duty to regard the work-life balance of the teacher and objectives will reflect this.

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. They will also be fair and equitable in relation to teachers with similar roles/responsibilities and experience, and will have regard to what can reasonably be expected of any teacher in that position given the desirability of the appraisee 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's strategy for bringing downward pressure on working hours. Objectives and discussions will not be based on teacher generated data and predictions, or solely on the assessment of data for a single group of pupils.

Documents relating to the school's self-evaluation and its improvement plan should be taken into account when setting objectives. This will ensure that teachers' objectives are in line with the school's priorities, and, **if achieved, will contribute to the school's plans for improving the school's educational provision and performance and improving the education**

and progress of pupils at the school. Objectives should also have a strong focus on effective professional development to ensure that teachers stay up to date with the latest methodologies, technologies, and educational research.

The appraiser and appraisee will seek to agree the objectives but where a joint determination cannot be made the appraiser will make the determination. Such discussions can be recorded in that appraisal statement and will be taken into account at the appraisal review.

Objectives should be set out in the planning element of the appraisal statement and may be revised during the appraisal period if circumstances change as but not limited to a teacher going on maternity leave, or undergoing surgery/medical treatment, to take account of the anticipated absence and to allow the teacher to meet reduced and attainable targets.

All staff will be assessed against the requirements of their job roles and any professional standards applicable to that role. **Before, or as soon as practicable after, the start of each appraisal period, each teacher will be informed of the standards against which they will be assessed. With the exception of those who are qualified teachers by virtue of holding and maintaining Qualified Teacher Learning and Skills (QTLS) status, all teachers must be assessed against the set of standards contained in the document called “Teachers’ Standards” published in July 2011.**

For teachers who are qualified teachers by virtue of holding QTLS status, it is for the governing body or school leader to decide which standards are most appropriate”

Where relevant, objectives will also relate to any professional standards the employee is seeking to achieve and, in turn, will provide evidence for any associated pay progression relating to progression to UPR.

In this school (select as appropriate):

- (i) *all teachers, including the Headteacher, will have no more thanobjectives¹*
- (ii) *teachers, including the Headteacher, will not necessarily all have the same number of objectives*
- (iii) *all teachers, including the Headteacher, will have a whole school objective*
- (iv) *all teachers, including the Headteacher, will have a team objective, as appropriate*

¹ Good practice would be to set three objectives.

Appraisal is an assessment of the overall performance of teachers and the Headteacher; it is recognised that objectives cannot cover the full range of a teacher's roles/responsibilities. Objectives will focus on the priorities for an individual for the appraisal period, reflecting their own professional development and the wider needs of the school. Teachers will be expected to meet the overall requirements of their job role, as set out in their job description, and the professional standards relating to their job. The appraisal process, including the annual statement, will take into account their overall performance in these matters, as well as their specifically agreed objectives.

The appraiser will need to set out what they will consider when making judgements as to whether teachers have met their objectives and the relevant standards. Evidence used in the performance management process must relate directly to objectives and should be agreed in advance and be readily available from day-to-day practice. Numerical targets should not be set if it is beyond the teacher's control to achieve them.

This might but does not have to include:

- Improvements in specific elements of practice, such as behaviour management, development of pedagogy or providing feedback.
- Impact on effectiveness of teachers or other staff.
- Wider contribution to the work of the school.

Reviewing Performance

The appraiser will set out what evidence will be taken into account when making judgements about a teacher's performance and whether they have met the relevant Teacher standards and their individual objectives. This evidence will be decided upon when the objectives are being set at the beginning of the appraisal process. A range of different methods should be utilised, in a supportive fashion, to assess teachers' performance.

It is important to our school that methods of assessing teacher performance do not add to teacher workload.

Observation

The amount of observation for each teacher should reflect and be proportionate to the needs of the individual, and the school. Proportionality will be determined during discussion at the appraisal meeting, taking into account the objectives set, and whether the teacher works full or part-time. In most cases up to three hours' observation per appraisal cycle (for example one per term) is likely to be sufficient. Exceptions may apply in certain cases

such as Early Career Teachers (ECT), teachers subject to capability for example.

Headteachers, and other appropriate members of the school's leadership team, have the right to drop in, in order to inform their monitoring of the quality of learning. This is to enable Headteachers to fulfil their duty to evaluate the standards of teaching and learning and to ensure that proper standards of professional performance are established and maintained. Other staff who are designated to undertake drop ins are detailed in the Drop in Protocol at [Appendix A2](#).

All classroom observations will be undertaken in accordance with the Classroom Observation Protocol attached at [Appendix A1](#).

Feedback

Teachers will receive constructive feedback on their performance throughout the year. Where observation has taken place, feedback will be provided as soon as possible after the observation, or if there are concerns about any aspect of performance, these will be raised with the teacher concerned as soon as possible, and support and guidance will be provided. If no concerns are raised, it will be assumed that performance is satisfactory.

Feedback will highlight particular areas of strength as well as any areas that need attention.

Informal Support

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

- Inform the teacher that they are going to be receiving informal support due to performance concerns.
- Give clear and specific feedback to the teacher about the nature and seriousness of the concerns.
- Give the teacher the opportunity to comment and discuss the concerns.
- Set clear or if appropriate set revised objectives and timescales for required improvement. The amount of time is up to the school but should reflect the seriousness of the concerns.

- Agree any support (e.g. coaching, mentoring, structured observations), that will be provided to help address those specific concerns.
- Confirm a monitoring officer to monitor the teacher's performance over the review period, and to provide a written report to the appraiser at the end of the period, depending upon the size and structure of the school the appraiser may be the monitoring officer.
- Set a review period, making clear how, and by when, the appraiser will review progress.
- Explain the implications and process if no, or insufficient, improvement is made – e.g. commencement of capability procedure.
- Where personal or domestic circumstances are identified as contributing to the employees' performance issues, support should be provided, if available and appropriate. Examples may be referral to the [Employee Assistance Programme \(EAP\)](#). (where the school purchases this service); or exploring a temporary adjustment to working hours to accommodate caring responsibilities.

There should be a clear relationship between the issue, the objectives set, and the planned documented programme of support put in place. The appraiser should partner with the teacher in a collaborative manner to establish objectives and timelines, considering the teacher's circumstances. This may include any medical conditions, well-being support needs, or disabilities protected by equality legislation.

Review Period

Informal support should be provided for a reasonable period to allow for performance improvement. The review period should be reasonable and proportionate and allow sufficient time for improvement. It will usually be between 6 to 8 weeks, depending on the seriousness of the concerns. However, the duration will be determined based on the specific circumstances, with appropriate support in place to facilitate improvement.

The appraiser will confirm the discussion, including the nature of the concerns, the agreed action and timescale for review, in writing to the employee.

Regular contact will be maintained during the review period to support, monitor, and assess progress and to ensure that the agreed support is being provided.

After the agreed period of review, 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.

Transition to Capability

If the appraiser is not satisfied with progress or there is serious underperformance during the informal support process, the teacher will be notified in writing that the appraisal policy will no longer apply and that their performance will be managed under the capability procedure.

Annual Assessment

Each teacher's performance will be formally assessed in respect of each appraisal period. In assessing the performance of the Headteacher / CEO, the Governing Body must consult the External Adviser.

The assessment is the end point to the annual appraisal process, and each teacher and Headteacher will have an annual assessment meeting with their appraiser. In addition to the annual assessment, performance and development priorities will be reviewed and addressed on a regular basis throughout the year in interim meetings which will take place _____ (*insert appropriate timescale - e.g., once per term*).

The teacher will receive a written appraisal report as soon as practicable following the end of each appraisal period and have the opportunity to comment on **an appraisal report**.

In this school, teachers will receive their written appraisal reports by 31 October, and by 31 December for the Headteacher.

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**, other relevant professional standards, contribution to school improvement, and to the progress of pupils, and their job description.
- **An assessment of the teacher's professional development needs and identification of any action that should be taken to address them** (refer to section 11 below for further information).
- Details of discussions around wellbeing, workload and career progression / aspirations.
- **A recommendation on pay when it is relevant.**

The assessment of performance and of any training and development needs will inform the planning process for the following appraisal period.

Appraisers should not wait until the annual assessment meeting to raise concerns about a teacher's performance. Any issues should be addressed promptly; at the time they arise. If concerns are identified and discussed during the appraisal cycle, the school should then follow the informal support process outlined in this policy.

Appeals

Teachers and Headteachers have a right of appeal against any pay related decisions made in their annual appraisal report. Details of the appeals process are covered in the school's pay policy.²

A teacher who wishes to appeal against any other aspect of their appraisal report will have their concerns considered by the Headteacher. Where the Headteacher has written the appraisal report, the appeal will be conducted by the Chair of Governors.

A teacher wishing to appeal should write to the Headteacher, setting out clearly the reasons why they are dissatisfied with the report, within five school working days of receiving the report.

The appeal will be heard by the Headteacher or the Chair of Governors, as appropriate. The teacher concerned and the appraiser may attend the hearing to present their respective cases. They will be notified in writing of the hearing at least seven school working days in advance.

The decision of the Headteacher or the Chair of Governors is final.

The outcome of the appeal will be confirmed in writing to both parties.

Confidentiality

The whole appraisal process and the documents generated under it, in particular, will be treated with strict confidentiality at all times. Ofsted has the right to request appraisal documentation, in an anonymised format, and the school will comply with such requests. Other than this, only the appraisee's line manager or, where they have more than one, each of their line managers will be provided with access to the appraisee's appraisal report, upon request, where this is necessary to enable the line manager to discharge their line management responsibilities. Appraisees will be told who has requested and has been granted access.³

² Appeals taken through the school's pay policy would only apply if this was regarding a determination about performance related pay.

³ The Headteacher and appraiser will automatically retain a copy of the appraisal report. If an appraisee's line manager is not the appraiser, they will be provided with access to the report. The Governing Body shall be provided with access to the appraisee's report for the purposes of exercising any discretion in relation to pay.

Retention of Documents

Appraisal documents will be retained for a minimum period of 6 years.

Training & Support

The school's Continuing Professional Development (CPD) programme will be informed by the training and development needs identified in the training annex of the appraisees' appraisal reports.

The Governing Body will ensure in the budget planning that, as far as possible, appropriate resources are made available in the school budget for any training and support agreed for appraisees.

An account of the training and development needs of teachers in general, 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 Body about the operation of the appraisal process in the school.

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: (a) the CPD identified is essential for an appraisee to meet their objectives; and (b) the extent to which the training and support will help the school to achieve its priorities. The school's priorities will have precedence. Teachers should not be held accountable for failing to make good progress towards meeting their performance criteria where the support recorded in the appraisal report has not been provided.

Consistency of treatment & Fairness

The Governing Body is committed to ensuring consistency of treatment and fairness in the operation of appraisal.

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

Quality Assurance

The Governing Body will:

Option 1*	Nominate the Chair of the Governing Body, who will not be involved in the Headteacher's appraisal or any appeal regarding the Headteacher's appraisal to ensure that the Headteacher's appraisal report is consistent with the school's
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	improvement priorities and complies with the school's appraisal policy and the statutory requirements.
Option 2*	Nominate (up to three governors - state the number) who will not be involved in the Headteacher's appraisal or any appeal regarding the Headteacher's appraisal to ensure that the Headteacher's appraisal report is consistent with the school's improvement priorities and complies with the school's appraisal policy and the statutory requirements.
Option 3 ⁴ *	Choose not to quality assure the appraisal report.

(*Delete as appropriate)

The Governing Body will review the quality assurance processes when the appraisal policy is reviewed.

Monitoring & Evaluation

The Governing Body will monitor the operation and outcomes of the appraisal arrangements.

The Headteacher will provide the Governing Body with a written report on the operation of the school's appraisal policy annually. The report will not contain any information which would enable any individual to be identified.

The report will include:

- The operation of the appraisal policy.
- The effectiveness of the school's appraisal arrangements.
- Teachers' training and development needs.

The Governing Body is committed to ensuring that the appraisal process is fair and non-discriminatory.

The Headteacher will, report annually to the Governing Body, in a confidential section, appropriate details of:

- Any appeals or representations on an individual or collective basis on the grounds of alleged discrimination under any of the categories above in relation to appraisal.
- Cases, including the circumstances, where teachers have not made satisfactory progress towards objectives; and

⁴ Option 3 – In the case of Headteachers, because of the rigour involved in the process and the involvement of the external advisor, this option would be viable for Governing Bodies.

- Any instances where the training and development set out in the training and development annex of an appraisal report has not been provided.

In providing the information outlined above, the Headteacher should identify whether there are any equality impact concerns based on the protected characteristics of the staff affected.

Review of the Policy

The Governing Body will review the appraisal policy every school year at its _____ meeting.

The Governing Body will take account of the Headteacher's report in its review of the appraisal policy. The policy will be revised as required to introduce any changes in regulation and statutory guidance to ensure that it is always up to date.

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.

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

Access to Documentation

Copies of the school improvement and development plan and self-evaluation form are published on the school's intranet and/or can be obtained from the school office.⁵

Data Protection

Where the Council provides HR support to schools, and in this connection may therefore hold personal information about staff in schools, the Council holds that information in accordance with the General Data Protection Regulation (GDPR).

The school also holds personal staff data in line with the GDPR, as set out in the Data Privacy Primary Notice and Recruitment and Employment Privacy Notice. Further information on GDPR is available from the school.

⁵ The SIP/SDP should be accessible to staff but will not necessarily be published on the school's intranet. It is recommended that the SEF is not published because of issues of sensitivity and confidentiality.

Appendix A1

Classroom Observation Protocol

The Governing Body is committed to ensuring that classroom observation is developmental and supportive and that those involved in the process will:

- Carry out the role with professionalism, integrity, and courtesy.
- Evaluate objectively.
- Report accurately and fairly; and
- Respect the confidentiality of the information gained.

The arrangements for classroom observation will be included in the appraisal report and will include the amount of observation, specify its primary purpose, any particular aspects of the teacher's performance which will be assessed, the duration of the observation, when during the appraisal process the observation will take place and who will conduct the observation.

In keeping with the commitment to supportive and developmental classroom observation those observed will normally be given at least one calendar weeks' notice of the details of the date and time of the observation.

Where evidence emerges about the appraisee's teaching performance, which gives rise to concern during the appraisal period, classroom observations may be arranged in addition to those recorded at the beginning of the period, following professional dialogue with the teacher concerned.

Information gathered during the observation will be used, as appropriate, for a variety of purposes including to inform school self-evaluation and school improvement strategies in accordance with the school's commitment to streamlining data collection and minimising bureaucracy and workload burdens on staff.

Classroom observations will only be undertaken by people with QTS. In addition, in this school classroom observation will only be undertaken by those who have had adequate preparation and the appropriate professional skills to undertake observation and to provide constructive oral and written feedback and support, in the context of professional dialogue between colleagues.

Oral feedback will be given as soon as possible after the observation and no later than the end of the following working day. It will be given during directed time in a suitable, private environment.

Written feedback will be provided within five working days of the observation taking place. If issues emerged from an observation that were not part of the focus of the observation as recorded in the appraisal report these should also be covered in the written feedback and the appropriate action taken in accordance with the appraisal policy.

The written record of feedback also includes the date on which the observation took place, the lesson observed and the length of the observation. The teacher has the right to append written comments on the feedback document. No written notes in addition to the written feedback will be kept.

Information, guidance, and resources can be accessed from various subscription-based sources, including but not limited to The Key, The National College and Twinkl etc.

Appendix A2

Drop in / Learning Walk Protocol

Headteachers and other leaders with responsibility for teaching and learning standards may carry out short, informal classroom visits (commonly referred to as drop-ins or learning walks) to evaluate the standards of teaching and learning, and to ensure that high standards of professional performance are established and maintained.

The arrangements for those will look different in different contexts but should be co-designed with staff prior to implementation to ensure clarity and shared understanding.

Clearly the appraisal arrangements are integral to fulfilling this duty and Headteachers may consider the classroom observations they have agreed are sufficient and that a drop in will not be needed.

Drop ins will only inform the appraisal process where evidence arises, which merits the revision of the planning element of the appraisal report.

Information, guidance, and resources can be accessed from various subscription-based sources, including but not limited to The Key, The National College and Twinkl etc.