



Department
for Education

Statutory Guidance on Induction for Newly Qualified Teachers in England

Amended April 2012

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Section 1

Introduction

What this guidance covers

1.1 This section provides an introduction to statutory induction for Newly Qualified Teachers (NQTs) and includes the purpose and coverage of this guidance, transitional arrangements and basic legal requirements.

1.2 All qualified teachers who are employed in a relevant school¹ in England must, by law, have completed an induction period satisfactorily, subject to specified exceptions (see Annex B).

1.3 Section 2 of this guidance explains the law governing the general procedure for NQTs who need to complete that period so that they can work in relevant schools. This guidance also sets out how NQTs should be supported and monitored during the induction period, and describes the assessment against the core standards that all NQTs are subject to once they have completed induction.

1.4 Section 3 covers provisions that apply on a less regular basis, including shortening and extending an induction period; supply teaching; NQTs employed simultaneously in two or more institutions and special provisions applying to Cohort 1 teachers who have not passed the numeracy test on completion of induction.

1.5 Section 4 covers procedures for dealing with unsatisfactory performance during the induction period.

1.6 Section 5 describes the appeal arrangements for those who wish to challenge a decision made by an Appropriate Body (the Body responsible in regulations for deciding whether the NQT has met the core standards, drawing on the recommendation from the headteacher or principal).

1.7 Section 6 summarises the roles and responsibilities of those involved in the induction process.

The purpose of induction

1.8 Statutory induction is the bridge between initial teacher training and a career in teaching. It combines a personalised programme of development, support and professional dialogue, with monitoring and an assessment of performance against the core standards (see paras 1.15 – 1.17).

1.9 Each NQT's induction programme should enable the NQT to build on and extend the knowledge and skills developed during initial teacher training and provide the foundation for continuing professional and career development.

¹ A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU. **1**

The programme should assist the NQT to meet the core standards by the end of the period and equip him or her with the tools to be an effective and successful teacher. Each NQT's programme should be tailored to the individual's needs and circumstances and should provide a reduced timetable (and planning, preparation and assessment time) and significant opportunities for the NQT to:

- show their potential;
- make rapid advancement towards excellence in teaching; and
- begin to make a real impact on their school's and pupils' development.

The statutory framework

1.10 The statutory provisions which underpin this guidance are sections 135A, 135B, 141C(1)(b) and 214 (1) of the Education Act 2002 (a) and the Education (Induction Arrangements for School Teachers) (England) Regulations 2008 (hereafter referred to as "the Regulations") as amended by The Education (Induction Arrangements for School Teachers)(England)(Amendment)Regulations 2012.

1.11 This guidance explains the provisions of the 2008 regulations, which came into effect on 1 September 2008 and the amendments which came into effect on 1 April 2012 and provides further advice to help individuals to comply with the regulations. The guidance is not a complete and authoritative statement of the law, but anyone exercising any function under the Education (Induction

Arrangements for School Teachers) (England) Regulations 2008 and the 2012 Amendments must have regard to the guidance.

Transitional arrangements (Regulation 2)

1.12 The Education (Induction Arrangements for School Teachers)(England) Regulations 2008 apply to:

- NQTs who start their induction on or after 1 September 2008; and
- NQTs who, on 1 September 2008, have started but not completed their induction.

1.13 In this context "started but not completed induction" means:

- an NQT who has completed a period of employment counting towards induction, for example, one or two terms, or a number of days out of the prescribed total of days in the period (see paras 2.34 – 2.37) but who has not completed the full induction period; or
- an NQT who is about to start or who is in the process of serving an extension prior to completing the induction period (see para 3.7).

1.14 An NQT who completed induction prior to 1 September 2008 will be covered by the Education (Induction Arrangements for School Teachers) (Consolidation) (England) Regulations 2001 as amended (these regulations were replaced by the 2008 regulations). In this context "completed induction" includes:

- any NQT who is awaiting a decision by the Appropriate Body on whether the core standards have been met;
- any NQT who is serving an extension to the period following a decision by an Appropriate Body or the Secretary of State; or

any NQT who is appealing against or awaiting the outcome of an appeal against a decision by an Appropriate Body.

The qualified teacher and core standards (Regulation 15 and Regulation 16)

1.15 The core standards apply to all NQTs. They form part of the framework of professional standards for teachers, build upon the Professional Standards for the award of Qualified Teacher Status (QTS), and are the standards which underpin all the subsequent standards. At the end of the induction period the headteacher/principal makes a recommendation, and the Appropriate Body decides whether the core standards have been met.

1.16 The framework of professional standards helps to guide teachers' professional development and the choices they make throughout their careers. To view the professional standards for teachers, please visit:

<http://webarchive.nationalarchives.gov.uk/20111218081624/tda.gov.uk/teacher/developing-career/professional-standards-guidance.aspx>.

1.17 Following the award of QTS an NQT begins their induction period having been assessed as meeting all of the QTS standards. These QTS standards should also be maintained by the NQT throughout the induction period, whilst he or she works towards meeting the core standards.

Requirement to complete an induction period (Regulation 7 and Schedule 2)

1.18 Subject to the exceptions listed in Schedule 2 of the regulations (see Annex B), a qualified teacher cannot be employed as a teacher in a relevant school² in England unless he or she has satisfactorily completed an induction period in accordance with the induction regulations and this

guidance. This requirement applies regardless of the route by which the individual gained QTS.

1.19 An NQT cannot start a statutory induction period (or partial period) in any permitted setting unless he or she has been awarded QTS (see paras 2.17 – 2.19 for the checks that must be made before the NQT takes up post).

1.20 There is no legal requirement to satisfactorily complete an induction period if an NQT intends to work solely in an independent school, an academy (including a 16-19 academy), a free school or in an FE institution. However, an NQT can, subject to certain conditions, serve an induction period in such settings, provided the NQT has QTS before the induction period starts.

Exceptions to the requirement to serve an induction period (Schedule 2)

1.21 Annex B provides information on those categories of qualified teachers who are exempt from the requirement to satisfactorily complete an induction period in order to be employed as a teacher in a relevant school.

Restrictions on working in a relevant school, where a teacher has not completed an induction period satisfactorily (Regulation 7)

1.22 An NQT has one chance only to complete induction. An NQT who has completed induction, and failed to meet the core standards, is not permitted to repeat induction (although they may appeal against the decision. Please see section 5). While such an NQT does not lose his or her QTS, he or she cannot be employed lawfully as a teacher in a relevant school.

Funding for induction

1.23 Funding for the induction of Newly Qualified Teachers (NQTs) in maintained and non-maintained special schools is incorporated into the main school funding system. It is for schools to ensure they commit appropriate resources to induction. Independent schools, academies (including 16-19 academies), free schools or further education institutions choosing to offer induction to NQTs should also ensure that appropriate resources are deployed.

Section 2

The Induction Process

2.1 This section provides guidance on the regulations that are relevant to the induction process. It is recommended that this section is also read by all NQTs undertaking induction. It starts at the point when an institution receives an application from an NQT (or potential NQT) and ends at the point where a decision has been made about whether the NQT has met the core standards, following the completion of the induction period.

Institutions in which induction may be served (Regulation 8)

2.2 The Regulations specify that induction can be served in the following institutions under the following conditions:

- a relevant school³ in England (except a PRU) – this includes, subject to paras 2.4 and 2.5, a maintained nursery school, a nursery that forms part of a maintained school, and a local authority maintained children's centre;
- in the circumstances set out in para 2.6, an independent school in England, an academy (including a 16-19 academy), a free school or a city technology college;
- in the circumstances set out in para 2.8 a further education (FE) institution including a sixth form college.

2.3 Induction may also be served in a school or an FE institution in Wales in which an induction period may be served under Welsh Regulations.

Induction in a maintained nursery or children's centre

2.4 Induction can take place in a maintained nursery school, a nursery that forms part of a maintained school or a children's centre that is maintained by the Local Authority and has been legally designated as a maintained nursery school. In all cases the nursery or children's centre must have a headteacher who can make the recommendation against the core standards, and provide the NQT with an induction tutor who holds QTS.

2.5 In all cases any NQT employed and completing a period or part period in these settings must teach classes of pupils predominantly aged three and over. This is because the education of pupils aged 0-2 years does not fall within the defined remit of a maintained nursery school. The headteacher must also ensure the NQT's post/duties comply with the requirements in para 2.24 on what constitutes a suitable post.

³A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU.

Induction in an independent school including nursery provision in an independent school (Regulation 8(1)(b))

2.6 Independent schools, academies, (including 16-19 academies), free schools and city technology colleges who wish to offer an NQT who has been awarded QTS the chance to complete statutory induction must provide suitable post (see para 2.24) and programme

that will help the NQT to continue to meet the standards for QTS and meet all the core standards.

In addition:

- the curriculum for any pupils at key stage 1 and 2 that the NQT is employed to teach, must meet the National Curriculum requirements other than the requirements in relation to statutory assessment arrangements;
- the curriculum for any pupils at key stage 3 or 4, that the NQT is employed to teach, must meet the National Curriculum requirements: i.e. it includes the programmes of study specified under section 84 and 85 of the Education Act 2002 in relation to every core or other foundation subject required to be taught;
- a prior agreement must be reached between the proprietor of the school and either a Local Authority or (for their members) the Independent Schools Teacher Induction Panel (ISTIP) that they will act as the school's Appropriate Body (see para 2.31);
- the school must provide the NQT with an induction tutor with QTS; and
- the NQT has a reduced timetable on a comparable basis to NQTs working in relevant schools,⁴ so that such NQTs are not disadvantaged when compared to those serving induction in a relevant school, and have time for further development.

2.7 Induction can also be served in the nursery of an independent school providing that:

- the criteria for independent schools above are met; and
- the NQT is employed to teach classes that predominantly comprise pupils aged three and over.

Induction in further education institutions (including sixth form colleges) (Regulation 8(1)(c))

2.8 Further Education (FE) institutions who wish to offer an NQT a post in which to complete a statutory induction period, must ensure beforehand that the NQT has been awarded QTS (see para 1.19). The principal of the institution must also ensure the NQT's duties comply with the requirements in para 2.24 of what constitutes a suitable post.

2.9 The principal will, on behalf of the FE governing body, need to identify and reach agreement with a Local Authority that the Authority will carry out the role of the Appropriate Body set out in this guidance. Discussions between the principal and the Appropriate Body should be undertaken in good time before the institution offers an NQT a post, as the induction programme and period cannot begin until agreement has been reached and the Appropriate Body has confirmed it is content to act.

2.10 In addition an FE institution or sixth form college wishing to provide an NQT with the statutory induction period must also ensure that:

- the NQT has adequate opportunity to further develop his or her knowledge, understanding and experience of the day-to-day practices and the role of a teacher in a school;

⁴ A relevant school is a maintained school or non-maintained special school in England, including a maintained nursery school or a PRU.

- the NQT has a reduced timetable on a comparable basis to NQTs working in relevant schools,⁵ so that such NQTs are not disadvantaged when compared to those serving induction in a relevant school, and have time for further development;
- normally no more than 10% of the NQT's teaching in the FE institution is devoted to teaching classes predominantly consisting of pupils aged 19 and over;
- the NQT must spend the equivalent of at least ten days teaching children of compulsory school age in a school during his or her induction;
- every effort is made to provide the NQT with 15 days experience in a school setting in addition to the mandatory ten days above (see paras 2.62 – 2.66); and
- the NQT is appointed an induction tutor who holds QTS.

Institutions where induction may not be served (Regulation 8(2))

2.11 Workplaces which cannot offer statutory teacher induction are:

- a pupil referral unit (PRU);
- a secure training centre;
- a school requiring special measures (i.e. one which is eligible for intervention under section 62 of the Education and Inspections Act 2006), except in cases where Ofsted have judged a school, or part of a school, to be suitable to host induction (see paras 2.12 – 2.14);
- an FE institution where, following an Ofsted inspection, it is reported that the overall effectiveness of the institution, or part of its education or training has been judged to be inadequate (category 4) except in cases

where Ofsted has judged the institution to be suitable to host induction (see para 2.15);

- the above includes FE institutions that have received a category 4 for leadership and management;
- independent schools that do not meet the criteria described in para 2.6;
- private nurseries and other early years settings that do not meet the criteria described in para 2.7, including independent nurseries that are not part of an independent school; and
- schools abroad, including British schools.

Where induction may be served or continued in a maintained school in special measures

2.12 A school that has entered special measures cannot normally host induction. However, where a teacher was employed on an employment based initial teacher training scheme in the school prior to gaining QTS, or had already started an induction period in the school, before the school entered special measures, then induction can be served. This will require careful management to ensure that the NQT's needs are met without jeopardising the educational provision for pupils in the school.

2.13 The school and the Appropriate Body will be jointly responsible for ensuring that any necessary additional support is put in place, and, as part of its quality assurance role, the Appropriate Body must satisfy itself that the NQT is not disadvantaged in any way when compared with other NQTs serving induction in the area. Through an effective dialogue and agreed action plan between the school and the Appropriate Body, schools in this position can continue to offer high quality induction placements and to support their existing NQTs effectively.

⁵A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU. **7**

2.14 Generally, once a school has entered special measures they are not permitted to recruit any new NQTs. However an Ofsted Inspector may make a judgement on whether the school is suitable for the purposes of induction. In some cases, particularly with larger schools, Ofsted may give permission for NQT appointments within specific departments or subject departments of the school. This decision can be made at the time of inspection or a school can apply in writing, asking Ofsted to make the judgement subsequent to inspection. All decisions will be reviewed each time the school is monitored.

Induction in a further education institution which has been judged inadequate

2.15 NQTs already serving induction in an FE Institution where the overall effectiveness of the institution, or part of its education and training have been judged to be inadequate (category 4) at the time of inspection, can continue to serve induction with the necessary support. Institutions and Appropriate Bodies will need to be clear on what those plans for support will entail. If an FE college is judged inadequate, it is not normally permitted to provide statutory induction for any new NQTs. Institutions who subsequent to receiving a category 4 wish to offer an NQT the chance to complete induction, may also ask Ofsted to judge the institution, or parts of the institution, on its ability to host induction. This decision can be made at the time of inspection or at a subsequent monitoring visit. In cases where the leadership and management of an institution is judged to be inadequate, the institution must still seek Ofsted's permission to host induction, even if the institution itself (or parts of the institution) has been judged as satisfactory overall.

Checking a teacher is eligible to start an induction period

2.16 Before the NQT takes up post the headteacher/principal must undertake a few pre-employment checks, which must be verified by the Appropriate Body upon registration.

Checking qualified teacher status

2.17 Schedule 2 of the regulations lists categories of teachers who are exempt from the requirement to complete an induction period (See Annex B). Any teacher who is not exempt from serving induction is only legally able to start the induction period once they have been awarded QTS. The requirement to hold QTS before starting induction applies to all permitted settings.

2.18 It is essential that headteachers/principals check and confirm the individual's QTS with the Teaching Agency (see Annex C for further information on how to access this information).

2.19 Appropriate Bodies must always confirm that the NQT's QTS has been checked when registering the NQT. Note that a teacher reference number does not mean the NQT has been awarded QTS.

Checking skills test status before an appointment is offered (Schedule 3)

2.20 Teachers completing Initial Teacher Training (ITT) after May 2001 must pass all the relevant skills tests before they can be awarded QTS. If an individual does not have QTS he or she cannot start induction. Teachers who completed ITT between the 1 May 2000 and 30 April 2001 are known as Cohort 1 teachers and are required to pass the numeracy skills test before they can satisfactorily complete induction (see paras 3.25 – 3.30). Prior to offering a Cohort 1 NQT an appointment, the headteacher/principal must check with the Teaching Agency to confirm whether the

individual has already passed the numeracy skills test. Institutions should encourage and support NQTs who need to pass the numeracy skills test to do so as soon as possible before the end of their induction period, seeking advice from the Teaching Agency as necessary.

Checking short-term supply limit status

2.21 Prior to offering a teacher who has not satisfactorily completed an induction period an appointment on a short-term supply basis, the headteacher/principal must ensure the individual has not exceeded the limit on such work (see paras 3.17 and 3.18).

2.22 Prior to a supply/employment agency offering a teacher to a school on a supply basis, the agency must ensure the individual has not exceeded the limit on short-term supply work, and must also comply with the duties placed on them under relevant employment agency and business legislation. Agencies must carry out all necessary identity and background checks on NQTs, including confirming that they are not unsuitable to work with vulnerable persons; share the results of these checks with the school; and must inform the school of any information received after an appointment is made which may lead to doubts over the NQT's suitability.

Responsibility for induction (Regulation 13)

2.23 The headteacher/principal of the institution in which an NQT is serving an induction period and the Appropriate Body are jointly responsible for the supervision and training to meet the development needs of the NQT. The duties assigned to the NQT and the conditions under which he or she works should be such as to facilitate a fair and effective assessment of the NQT's conduct and efficiency as a teacher.

Ensuring that the NQT's post is suitable

for induction

2.24 The headteacher/principal and Appropriate Body must ensure that the duties of the NQT, his or her supervision, personal development and the conditions under which the NQT works are such as to enable there to be a fair and effective assessment of the NQT's conduct and efficiency against the core standards. An important issue at the start and throughout the period is to ensure the suitability of the NQT's post. In particular a suitable post:

- must provide the NQT with the necessary employment tasks, experience and support to enable him or her to continue to meet the QTS standards, and to meet the core standards by the end of the induction period;
- must provide the NQT with a reduced timetable to enable them to undertake activities in their induction programme (see para 2.27);
- must not make unreasonable demands upon the NQT;
- should not normally demand teaching outside the age range and/or subject(s) for which the NQT has been employed to teach;
- must not present the NQT, on a day-to-day basis, with discipline problems that are unreasonably demanding;
- must involve the NQT regularly teaching the same class(es);
- must involve similar planning, teaching and assessment processes to those in which other teachers working in similar substantive posts in the institution are engaged; and
- must not involve additional non-teaching responsibilities without the provision of appropriate preparation and support (see para 2.67).

Cover teaching and cover supervision

2.25 A cover supervisor (even one holding QTS) who is not employed as a teacher cannot count their time spent as such towards induction.

2.26 Cover for absence is not an effective use of a teacher's time. There is currently a limit of 38 hours a year on the amount of cover that teachers, including NQTs, can be required to undertake and schools should expect to implement the objective that teachers should only rarely cover from 1 September 2009. There are exceptions for teachers who are employed wholly or mainly for the purpose of providing cover, however, the very nature of a cover teacher's responsibilities make it unlikely that such a post would comply with the requirements set out in statutory guidance on what constitutes a suitable post for induction.

Ensuring a reduced timetable and time for planning, preparation and assessment

2.27 All NQTs must have a reduced timetable, to enable them to undertake activities in their induction programme, and time for planning, preparation and pupil assessment. In a maintained school the School Teachers' Pay and Conditions Document says the headteacher must ensure an NQT should have a timetable of no more than 90% of the timetable of other main scale teachers in the school without responsibility points. The Document also makes explicit that such teachers are also entitled to additional Planning, Preparation and Assessment (PPA) time. NQTs in independent schools, academies, (including 16-19 academies), free schools and FE colleges must also have a reduced timetable on a comparable basis.

Role of the governing body upon appointment of an NQT

2.28 When an NQT is appointed the headteacher/principal should make the governing body aware of the arrangements, in line with this guidance, that have been put in place to support him or her.

The governing body must be satisfied that the institution has the capacity to support the NQT and that the headteacher/principal is fulfilling his or her responsibility to provide a suitable post and the necessary support, monitoring and assessment.

Determining the Appropriate Body (Regulation 6)

2.29 Regulations specify who should be the Appropriate Body for particular institutions (detailed in the chart below). Where the institution and the Appropriate Body need to formally agree who will act as the Appropriate Body, arrangements should be made in good time before the NQT starts.

Charging by the Appropriate Body (Regulation 21)

2.30 The Appropriate Body may make reasonable charges, not exceeding the cost of supplying the service, to an independent school, an academy (including a 16-19 academy), a free school, a city technology college or a further education institution to which it is supplying the service. Agreement should be reached on this before an NQT starts an induction period. Please see Section 6 for a summary of the roles and responsibilities of the headteacher/principal and the Appropriate Body.

Registering the NQT with the Appropriate Body

2.31 Once an NQT has been appointed, the headteacher or principal must notify the Appropriate Body as soon as possible to register the NQT, in advance of the NQT starting. The Appropriate Body needs to be made aware that an NQT is starting an induction period. The Appropriate Body must be satisfied that it has sufficient opportunity to fulfil its role, for example quality assurance of the NQT’s post and programme and advising on professional

development where appropriate. Failure to register the NQT in advance may, particularly where there has been a significant interval, result in a delay to the start of the induction period.

Named contact at the Appropriate Body

2.32 At registration the Appropriate Body should provide the NQT with a named contact with whom he or she may raise any concerns about their induction programme which may arise, where he or she has been unable to resolve them within the institution. This named contact should not be directly involved in monitoring or supporting the NQT or in making decisions about satisfactory completion of induction, although they will need to be in close contact with colleagues who are.

Informing the Secretary of State of NQT appointments

2.33 Appropriate Bodies should inform the Teaching Agency of any NQTs who start an induction period.

Determining the Appropriate Body	
Type of Institution	Appropriate Body
<ul style="list-style-type: none"> • Community, foundation or voluntary schools; • community or foundation special schools; • maintained nursery schools. 	<ul style="list-style-type: none"> • The Local Authority maintaining the school.
<ul style="list-style-type: none"> • Non-maintained special schools. 	<ul style="list-style-type: none"> • The Local Authority in which the school is situated.
<ul style="list-style-type: none"> • Independent schools that are members of the Independent Schools Teacher Induction Panel (ISTIP). 	<ul style="list-style-type: none"> • The Independent Schools Teacher Induction Panel (ISTIP) or a Local Authority that the school reaches agreement with.
<ul style="list-style-type: none"> • Independent schools (not ISTIP) academies, 16-19 academies, free schools. 	<ul style="list-style-type: none"> • A Local Authority that the school reaches agreement with.
<ul style="list-style-type: none"> • Further education institutions. 	<ul style="list-style-type: none"> • A Local Authority that the institution reaches agreement with.

The minimum period of continuous employment that can count towards induction (Regulation 10)

2.34 Many NQTs complete their entire induction period in the same institution over a continuous period. However not all NQTs want or are able to secure such appointments. It is important for all parties, including pupils, that each NQT is in post long enough for those responsible to be able to form a fair and reasonable opinion of his or her work. Regulations therefore specify a minimum period of employment that can be counted towards completion of the induction period an NQT must serve under Regulation 9 (for both full-time and part-time NQTs). This minimum is one term or more (based on an institution that operates three terms in an academic year).

2.35 Consequently, provided at the outset an NQT's contract/appointment is for at least a term, an NQT may serve their induction in one, two, three or more institutions. For example an NQT may serve:

- two terms of induction in one institution on one contract, and one term in another;
- one and a half terms in one institution on one contract and one and a half terms in another; or
- three terms in three different institutions on three different contracts.

2.36 However, it would not be possible to serve two and a half terms of induction in one institution and the remaining half a term in another. Although the first contract would meet the minimum period criteria the second would not. NQTs in this situation will, therefore, serve a longer induction period than specified (in paras 2.41 – 2.52) in order to complete the induction period.

2.37 It is impossible to assess an NQT against all of the core standards over a period of less than one term. Some of the key core standards must be

demonstrated over a sustained period of time, before they can be judged to have been met. For example, NQTs need to demonstrate that they can build a relationship with all pupils, achieve continuity and progression in the pupils' educational experience and reflect on and modify their practice in light of lessons learned. The requirement for a minimum period also reflects the need for each NQT to work in a stable environment and receive a personalised, supported and pre-planned induction programme.

The minimum period where an NQT works in an institution that does not operate three terms in a year

2.38 Where an NQT works in an institution which has more than three terms in a year, the minimum period of employment that can count towards the induction period will be the equivalent of a term (based on an institution that operates three terms in a year). For example, in a six term school (such as a school that follows the 'Standard School Year' promoted by the Local Government Association) the minimum period of employment is two terms. This means that an institution would need to offer the NQT a contract of at least two terms from the outset.

2.39 NQTs who are not employed to work within a term structure (for example those teaching certain apprenticeship courses in an FE institution) must be given a contract of at least 63 days before a period of employment can count towards induction.

2.40 Any periods of induction served in Wales, that meet the minimum criteria as set out in Welsh regulations can count towards induction in England. Similarly, any valid minimum period served in England can count towards induction in Wales.

Determining the length of the induction period (Regulation 9)

2.41 Regulations specify the length of the induction period an NQT is required to serve. This is judged to be a reasonable amount of time for the NQT to demonstrate the standards and to enable the headteacher/principal to make a recommendation, and the Appropriate Body a fair assessment, of whether or not the individual has met the core standards.

2.42 Provision is made to reflect the differing circumstances of the maintained, independent school, academies, (including 16-19 academies), free schools) and FE sectors. Although the majority of NQTs serve a standard induction period lasting three terms, regulations also provide for NQTs in non-standard circumstances or with different work patterns to serve a period equivalent to three terms.

2.43 It is good practice for headteachers/principals to ensure NQTs are clear at the outset about how long their induction period should be, assuming their circumstances remain the same. The following paragraphs explain how to work out how long the induction period should be for the range of different circumstances/working patterns. However see also paras 3.2 – 3.6 on reducing the period in exceptional specified circumstances.

Length of the induction period for a full-time NQT where the term structure is three terms

2.44 A full-time NQT who:

- serves induction wholly in one or more school(s) where the academic year comprises three terms; and
- starts his or her period(s) of employment counting towards induction on the first day of a term;

completes induction when he or she has served three terms.

Length of the induction period for a full-time NQT where the term structure is six terms

2.45 A full-time NQT who:

- serves induction wholly in one or more school(s) where the academic year comprises six terms; and
- starts his or her period(s) of employment counting towards induction on the first day of a term;

completes induction when he or she has served six terms.

Length of the induction period for a full-time NQT who starts a period of employment counting towards induction in a school after the first day of term

2.46 Where a full-time NQT starts his or her period(s) of employment counting towards induction on a day after the first day of a term, the induction period must equal the number of days in the academic year of the school in which they started induction. This will ensure that the NQT, the school and the Appropriate Body are clear from the outset about how many days the NQT must serve to complete the period. This will also help to ensure that, where the individual starts a new contract before completing induction, any subsequent employer is clear about how many days the NQT has yet to serve.

Length of an induction period for a full-time NQT who serves induction in more than one school where those schools have different term structures

2.47 Where a full-time NQT serves induction in more than one school which have differing term structures (e.g. one school with three terms in a year and one with six terms in a year), the induction period should equal the number of days

in the academic year of the school in which they started induction.

Length of the induction period for a full time NQT who starts his or her induction in a further education institution

2.48 A full-time NQT who starts their induction in a further education institution must serve an induction period of 1 89 days. This is to allow for the differences between the school and Further Education sectors (for example some courses taught in further education institutions do not follow a traditional term structure).

Length of the induction period for an NQT who works part-time at any time during their induction period

2.49 Where an NQT who starts induction in a school works part-time at any point during their induction, the number of days the individual will have to serve in order to complete induction will be the number of days in the academic year of the school in which the NQT started induction.

2.50 Where an NQT who starts induction in an FE institution works part-time at any point during the induction period, the NQT must serve an induction period that is at least 189 days.

2.51 It will take a part-time NQT a longer period of time than someone employed on a full-time basis to work the required period specified in paras 2.44 – 2.52, dependent upon the proportion of a full-time teacher's contract the part-time NQT is contracted to work.

2.52 To calculate the period of time it will take for a part-time NQT to complete his or her induction period, divide the total number of days' induction the NQT must serve by the full-time equivalent (FTE) percentage that the individual is contracted to work. For example:

an NQT, contracted to work an FTE of 0.6 in a maintained school (who is required to serve an induction period of 195 days, in accordance with para 2.44), would need to be employed for a period of 325 days ($195 \div 0.6 = 325$) in order to complete the induction period.

Recording starters, absences, leavers, and time served which counts towards an induction period

2.53 All institutions must maintain accurate records of the date an NQT starts a period of employment counting towards induction, how much of the period has been completed and any absences. These should be noted appropriately on the assessment forms at the end of each formal assessment period (see paras 2.83 – 2.85). Where an NQT leaves or changes working patterns during the period, this will enable the institution and the Appropriate Body to calculate how much of the period remains to be completed. The headteacher/principal should notify the appropriate body if an NQT leaves the institution before completing the period. The appropriate body will then notify the Teaching Agency.

Starting and completing an induction period and breaks during an induction period

2.54 Whilst NQTs are encouraged to start their induction as soon as possible after gaining QTS, there is no set time limit for starting or completing an induction period. Where significant time has elapsed between gaining QTS and starting induction, or where there is a significant gap between teaching posts during the induction period, NQTs may want to consider undertaking some refresher training.

Obtaining previous records

2.55 Where an NQT has already completed part of their period in another institution, the headteacher/principal should:

- contact the NQT's previous Appropriate Body to obtain a copy of any assessment forms including any interim assessment/s; and
- establish how much of the period has been completed and how much remains to be served, including any absences during any previous periods of induction served.

2.56 Obtaining the assessment reports and associated information will enable the headteacher/principal:

- to develop an appropriately targeted programme and consider early action in cases where an NQT may need specific or additional support;
- facilitate scheduling of the outstanding formal assessments on an appropriate cycle; and
- ensure early identification of circumstances where a pre-completion extension due to absences during the period may be necessary.

2.57 To avoid any confusion at a later date it is good practice to confirm how much of the induction period has already been completed and any absences directly with the NQT as soon as the information is available after appointment. This is important as absences totalling 30 days or more must lead to the induction period being extended (see para 3.7).

Appointment of an induction tutor

2.58 The headteacher/principal must identify a person to act as the NQT's induction tutor, to provide day to day monitoring and support, and co-ordination of assessment⁶. This is a very important role in the process. The induction tutor must hold QTS and also have the necessary skills, knowledge and time to work effectively in this role. In particular, the induction tutor should be able to undertake effective coaching and mentoring. The

induction tutor should also be able to make rigorous and fair judgements about the NQT's progress in relation to the core standards and to recognise when early action may need to be taken in the case of an NQT who is experiencing difficulties. It may, in some circumstances, be appropriate for the headteacher to be the induction tutor.

Planning and preparing the induction programme

2.59 It is essential that NQTs receive a personalised, supported programme and the reduced timetable that they are entitled to so that each NQT has the time and support to focus on his or her professional development needs. It is, therefore, important that planning for induction starts before the NQT takes up post.

2.60 When planning/approving the programme headteachers/principals must ensure that the NQT's timetable is no more than 90% of the timetable of other main scale teachers in the school without responsibility points. NQTs are entitled to this under the School Teachers' Pay and Conditions Document in addition to PPA time (see para 2.27). However, NQTs serving induction in independent schools, academies, (including 16-19 academies, free schools) or FE Institutions must also have a reduced timetable on a comparable basis. When putting together a programme of support, the induction tutor will need to make arrangements early on for the NQT to:

- receive information about the institution, their post and the arrangements for induction, in advance of the first day in post;
- meet with the induction tutor to discuss their individual strengths and development needs;
- receive and agree a timetable of observations, reviews and assessment meetings;

⁶ Aspects of this role may be shared between an induction tutor, in a co-ordinating role, and individual mentors.

- agree with their induction tutor a personalised development plan setting out clear objectives and success measures;
- receive information about their rights and responsibilities and those of others involved, and the nature and purpose of assessment in the induction period;
- participate in the school's/college's general induction arrangements for new staff;
- take part in any appropriate programme of staff training or improvement activities at the institution;
- be made aware of any institution-wide policies, including those on safeguarding and child protection, management of behaviour and health and safety, and opportunities for more targeted support/advice in these areas where necessary;
- spend time with the institution's special educational needs (SEN) coordinator to focus on specific and general SEN matters;
- receive, where appropriate, training development or advice from professionals from outside the school/college, e.g. from other schools and colleges, LAs, higher education institutions, Diocesan authorities, professional bodies and subject associations;
- take part in external training events that are relevant to identified individual needs; and
- be made aware of the institution's grievance procedures and locally agreed capability policy.

2.61 In all cases the NQT induction programme must take account of the core standards (see para 1.15) and the demands of the post in which NQTs are serving induction. The induction tutor and the NQT should review and update the NQT's induction programme and development plan regularly over the period, as existing skills and knowledge are consolidated and new areas of learning are identified.

Mandatory ten days teaching in a school for NQTs completing induction in a further education institution

2.62 It is very important that all NQTs serving induction in an FE institution, sixth form college or 16-19 academy have the opportunity to build on their initial teacher training experiences to further develop a sound knowledge and understanding of the day-to-day practices and the role of a teacher in a school teaching children of compulsory school age.

Part of being able to meet the core standards will involve, for example, demonstrating a good understanding of the role of a teacher in a school on teaching and learning, and the important contribution that other staff such as support staff can make to helping improve pupil achievement and well-being.

2.63 Consequently all NQTs completing induction in an FE institution, sixth form college or 16-19 academy must spend the equivalent of at least ten days teaching children of compulsory school age in a school during the period. In addition, every effort should be made to provide such NQTs with up to a further 15 days experience in a school setting. Early planning of such placement(s) will ensure benefit to pupils and the NQT.

2.64 The purpose of school placements and the nature of any support the NQT will receive from the school should be agreed in advance. The focus of the placement should involve teaching duties. An extended placement could also focus on transition issues for students, or involve curriculum development. In all cases the primary objective of any placement will be to inform the practice and meet the development needs of the NQT. The needs of the students affected and the institutions

themselves will also need to be considered. Providing NQTs with a school based mentor will help them to gain maximum benefit from their placement.

2.65 School placements can take place at any time during the induction period, taking into account implications for pupils and other staff. The school placement need not be undertaken in a single institution, but can be served in shorter placements (e.g. two five day placements).

2.66 The role the Appropriate Body should play in organising the school placement will depend on local capacity as well as what is agreed as part of any formal charging agreement. As a minimum, every Appropriate Body should provide advice on setting up placements and ensure that the mandatory ten days of teaching children of compulsory school age in a school has taken place.

Monitoring and support during induction (Regulation 13)

2.67 The headteacher/principal and induction tutor should ensure that a suitable monitoring and support programme is put in place. A suitable programme must include the following components:

- support and guidance from a designated induction tutor who has the time and experience to carry out their role effectively;
- observation of the NQT's teaching and follow-up discussion (see para 2.69);
- regular professional reviews of progress (see para 2.72);
- NQT's observation of experienced teachers – NQTs should be given opportunities to observe experienced teachers to help develop good practice in specific areas of teaching. This could be in the NQT's own institution or in another institution where effective practice has been identified. The focus for the observation should

relate to the requirements for satisfactory completion of the induction programme and the NQT's objectives for development;

- other personalised professional development activities, based on the NQT's priorities for professional development, new areas of need due to the particular post, and the core standards; and
- in planning the activities that are needed to help the NQT meet their objectives, the NQT and the induction tutor will want to draw on the NQT's thinking at the end of initial teacher training, updating plans over the period.

2.68 It is also important that the NQT is fully engaged in this process and takes responsibility for his or her professional development as the induction programme progresses. The leadership team will have a critical role to play in this and in ensuring effective communication and handover between the NQT's induction tutor and any subsequent performance reviewer.

Observation of the NQT's teaching practice

2.69 A full-time NQT's teaching should be observed during their first four weeks in post, and thereafter at least once in any six to eight week period (once every half term in an institution operating a three-term year). Where the NQT works part-time, the intervals between observations will need to be adjusted to reflect that induction is being served over a longer time frame, but the first observation should still take place in the first six to eight weeks. Observations should focus on particular aspects of the NQT's teaching which are agreed in advance between the NQT and the observer and on how to help all pupils learn more effectively. The choice of focus for the observations should be informed by (i) the requirements of the core standards and (ii) the NQT's personal

objectives for career development. Observations should be supportive and developmental.

2.70 Observations of the NQT may be undertaken by the induction tutor or another suitable person who holds QTS from inside or outside the institution; for example, teachers with particular specialisms or responsibilities as mentors, or Advanced Skills Teachers, or tutors from partnership higher education institutions (HEIs).

2.71 The NQT and the observer should meet to review any teaching that has been observed. Feedback should be prompt and constructive. Arrangements for review meetings should be made in advance and a brief written record made on each occasion. This record should relate to the NQT's objectives for development and the core standards and indicate where any development needs have been identified. It should also show where objectives have been revised to take account of the observation and discussion.

Professional progress reviews of the NQT

2.72 The induction tutor should review the NQT's progress at regular intervals throughout the induction period. There should be at least one scheduled professional review meeting in any six to eight week period (once every half term in an institution operating a three-term year). Where the NQT works part-time, the intervals between professional review meetings must be adjusted accordingly, but the first meeting should still take place within the first six to eight weeks of taking up post.

2.73 Reviews should be informed by evidence of the NQT's work, e.g. observation of teaching or scrutiny of lesson plans. Objectives should be reviewed and revised in relation to the core standards and the needs and strengths of the individual NQT. The NQT should maintain a record of evidence of progress towards objectives and any new objectives set within the development plan, as well as identification of

the steps to be taken to support the NQT in meeting the objectives. Evidence should come from day-to-day practice e.g. examples of planning and self-evaluation.

Quality assurance and the role of the appropriate body

2.74 The Appropriate Body has the main quality assurance role within the induction process. Through quality assurance the Appropriate Body can assure itself:

- that headteachers/principals (and governing bodies where appropriate) are aware of, and are capable of meeting their responsibilities for monitoring support, and assessment. This includes ensuring that an NQT receives a personalised induction programme, designated tutor support and the reduced timetable; and
- that the monitoring, support, assessment and guidance procedures in place are fair and appropriate.

2.75 The Appropriate Body should on a regular basis consult with headteachers/principals on the nature and extent of the quality assurance procedures it operates, or wishes to introduce. Institutions are required to work with the Appropriate Body to enable it to discharge its responsibilities effectively.

2.76 The means of quality assurance will reflect the existing structures and patterns of practice for monitoring the work of institutions for which the Appropriate Body is responsible. It will also, in the case of independent schools, academies, (including 16-19 academies), free schools and FE institutions, need to reflect any agreement entered into between the Appropriate Body and the institution's governing body. Some Appropriate Bodies may focus on induction as part of a regular scheduled visit. Others may concentrate on those

institutions where the need for additional support has been identified and monitor a sample of other institutions to ensure consistency of assessment. In the case of institutions in special measures or deemed inadequate (see paras 2.1 2 – 2.1 5), the Appropriate Body must satisfy itself that the NQT is receiving broadly the same quality of experience available to NQTs in other institutions in the area.

2.77 The Appropriate Body should also (as local capacity, resources and agreements allow):

- respond to requests from schools and colleges for guidance, support and assistance with NQTs' induction programmes; and
- respond to requests for assistance and advice with training for teachers related to their roles providing coaching and mentoring, supervision and assessment (such as training for induction tutors).

2.78 If an institution informs the Appropriate Body that an NQT is not making sufficient progress towards meeting the core standards, the Appropriate Body should, as soon as possible, act to assure itself that the assessment of the NQT is fair and accurate. The Appropriate Body should also ensure that relevant objectives and a support programme are in place to help the NQT address areas of his or her performance that require further development.

2.79 Where the Appropriate Body considers that an institution is not providing an appropriate programme or support, the Appropriate Body must, as part of its quality assurance procedures, contact the institution to raise its concerns immediately (in writing, as appropriate).

2.80 Following discussion with the institution and the NQT, the Appropriate Body may feel that upon completion of induction it is unreasonable to expect the NQT to have met the core standards, or that there is insufficient evidence on which a decision can be based about whether the core

standards have been met. In such circumstances

the Appropriate Body can at the end of the period decide to extend the induction period for a period to be determined by the Appropriate Body (see para 3.11).

Raising concerns

2.81 An NQT who has concerns about any aspect of the content and/or delivery of their induction programme should act on those as quickly as possible. The NQT should normally raise their professional concerns internally, informally in the first instance, with their induction tutor, or more formally where the nature of the concerns may warrant this.

2.82 Where the NQT's concerns go beyond the institution's systems or procedures, or where the NQT may lack confidence or feel that the concerns have not been properly addressed, they should contact the named individual at the Appropriate Body. In these cases the named individual should, as soon as possible, investigate the issues raised by the NQT. The named contact should take steps to assure themselves that the induction programme and/or the NQT's post and responsibilities are suitable and fair, provide adequate support and do not place unreasonable demands upon the NQT.

Formal assessments of progress

2.83 There should be three formal assessment meetings during the induction period, between the NQT and either the headteacher/principal or the Induction Tutor (acting on behalf of the headteacher). For an NQT working full-time in an institution operating a three-term year, these would normally take place towards the end of each term. However for part-time NQTs and institutions with more than three terms in a year the assessments should be carried out at equidistant intervals throughout the induction period. It is for institutions and NQTs to agree

exactly when the assessment dates are set, but the final assessment should occur as near to the end of the induction period as possible. Good practice is to schedule dates for formal assessment(s) on appointment at the start of the induction period/part period,

2.84 The induction tutor will, on behalf of the headteacher or principal, play a key role in providing and co-ordinating assessment throughout the NQT's induction programme. Where more than one person is involved in providing support and/or assessment, individual responsibilities should be clearly specified and agreed at the beginning of the induction period. All parties with a role should have clear arrangements for sharing information so that monitoring and assessment is based on, and informed by, evidence from the NQT's teaching and professional development.

2.85 The third formal assessment meeting is also the final end of induction period assessment, and will form the basis of the headteacher/principal's recommendation to the Appropriate Body as to whether the NQT, having completed the period, has or has not met the core standards.

Evidence to be used as the basis for formal assessment

2.86 Each formal assessment meeting should be informed by written reports from at least two observations of the NQT's teaching and two progress review meetings that have taken place during the preceding assessment period. This evidence should emerge from the NQT's everyday work as a teacher and from their induction programme. Judgements made during the induction period should relate directly to the standards for the award of QTS and the core standards. NQTs should be kept up-to-date so that they are aware of how the induction tutor sees their progress. Under no circumstances should there be any surprises. Induction tutors must

ensure they tell the NQT during the assessment meeting the judgements to be recorded in the formal assessment record and sent by the headteacher/principal to the Appropriate Body (see para 2.91). Induction tutors should also invite NQTs to add their comments to the assessment record.

2.87 In addition to the reports and records mentioned above, further sources of evidence could include:

- the NQT's lesson plans, records and evaluations;
- assessment records for pupils for whom the NQT has had particular responsibility, including test and/or examination results;
- information about liaison with others, such as colleagues and parents; and
- the NQT's self-assessment and record of professional development.

Induction tutors may want to collect more evidence in areas where there are concerns about the NQT's progress, to identify better what additional support and action may be needed.

Interim assessments

2.88 When an NQT leaves a post after completing more than one term in an institution but before the next formal assessment would be required, the headteacher/principal must complete an interim assessment. This should take place before the NQT leaves his or her post in order to ensure that the NQT's progress and performance since the last assessment are captured. This is especially important where concerns about progress may have arisen.

2.89 The information recorded on the interim assessment form will serve as a starting point for any future induction tutor, inform the content and

structure of the induction programme in any subsequent post and allow the programme to be tailored to the NQT's priorities for professional development so that induction can be continued effectively. Where only a short period has elapsed since the last formal assessment and the NQT's progress towards the core standards has not changed appreciably, the headteacher/principal may choose to refer back to the previous assessment. However, the number of days the NQT has worked since the previous assessment must still be recorded on the interim assessment form as any subsequent employers will need this information.

2.90 Once the interim assessment form is completed, it should be signed by the headteacher/principal and the NQT. The NQT should be invited to add their comments before signing the form. Once the form is signed, the NQT should be given the original and a copy sent to the Appropriate Body. The headteacher/principal should also retain a copy of the completed reports.

Completing the first and second formal assessment forms

2.91 Following the first and second formal assessment meetings an assessment form should be completed by the induction tutor and/or headteacher/principal (as appropriate) and signed by the headteacher/principal and the NQT. The NQT should be invited to add their comments before signing the form. These reports should clearly indicate whether or not at the time of each assessment the NQT is judged to be making satisfactory progress towards meeting the standards by the end of the period.

2.92 Model assessment forms can be downloaded from

<http://www.education.gov.uk/schools/leadership/deployingstaff/b0066959/induction-newly-qualified-teachers/nqt-forms>. Appropriate Bodies may personalise/adapt these forms to suit local needs. Institutions are advised to check that they have the correct version before completing them.

2.93 Once the form is signed, the NQT should be given the original and a copy sent to the Appropriate Body within ten working days of the assessment meeting. The headteacher/principal should also retain a copy of the completed reports.

Access by the governing body to formal assessments

2.94 The governing body can request general reports on the progress of an NQT on a termly basis but are not automatically entitled to have access to an individual's assessment forms. The exception to this would be when an NQT has raised concerns about a particular issue/assessment via the institution's grievance procedures, which would in many cases require the governing body to investigate the situation. If at any stage the governing body has questions or concerns about the quality of the institution's induction arrangements and the roles and responsibilities of staff involved in the process they can seek guidance from the Appropriate Body.

Action on completing the induction period (Regulation 16)

Completing the induction period

2.95 An NQT completes their induction period when he or she has served:

. An induction period of the length specified in paras 2.34 – 2.52;

- any extension to that period as a consequence

of absences occurring during the period (see paras 3.7 – 3.10); and

- any extension following a decision by the Appropriate Body or the Secretary of State (see paras 3.11 – 3.13).

Completing the third formal assessment form and making the recommendation

2.96 Following the third and final formal assessment meeting the relevant assessment form should be completed by the induction tutor and/or headteacher/principal (as appropriate). This form must record the headteacher/principal's final recommendation as to whether or not, upon completion of the induction period, the NQT has met the core standards.

2.97 The headteacher/principal, the induction tutor and the NQT must then sign the final assessment form and the NQT should be invited to add their comments before signing the form (see also para 3.4 on shortening the period in exceptional circumstances).

2.98 The headteacher/principal should ensure a signed copy of the assessment form, containing the recommendation, is sent to the Appropriate Body within ten working days from the date of completion of the induction period. The headteacher/principal should keep a copy, and give the original to the NQT. Copies of all assessments and supporting evidence should be retained for six years by the headteacher/principal and the Appropriate Body (see para 2.111).

Appropriate Body decision on whether the standards have been met

2.99 It is the Appropriate Body that makes the final decision as to whether or not an NQT has met the core standards, drawing on the recommendation of the headteacher/principal.

2.100 Within 20 working days of receiving the recommendation, the Appropriate Body must decide whether the NQT:

- has achieved the core standards and thereby satisfactorily completed their induction period;
- requires an extension of the induction period (see para 3.11); or
- has failed to satisfactorily complete the induction period.

In making this decision the Appropriate Body must take into account all available evidence including any written representations received from the NQT.

2.101 The Appropriate Body must, within three working days of making the decision, write to:

- the NQT;
- the headteacher/principal (in whose institution the NQT was working at the end of their induction); and
- the employer (if other than the Appropriate Body itself),

to inform them of the decision.

Notifying the Secretary of State of NQTs who have not met the standards

2.102 A decision to fail or extend an NQT's induction must be notified to the Teaching Agency within three working days of the decision being made and recorded.

The NQT's right to appeal against a decision that they have not met the standards

2.103 If the Appropriate Body decides to extend the period of induction or decides that the NQT has failed to complete their induction period satisfactorily, the Appropriate Body must inform the NQT of their right to appeal against this

decision, with the name and address of the Appeal Body (the Teaching Agency), and the deadline for appeals. Within 20 working days of receiving this notification, the NQT must say if they will be exercising their right to appeal. After 20 days, this right expires except in exceptional circumstances. For full details of the appeals system please see Section 5.

Teachers in Cohort 1 who complete induction but have not passed the numeracy skills test (Schedule 3)

2.104 Teachers who gained QTS in England between 1 May 2000 and 30 April 2001 are known as Cohort 1 teachers and must additionally pass the numeracy skills test before they can satisfactorily complete induction. Where an NQT who falls in Cohort 1 completes the induction period but has yet to pass the numeracy test, the Appropriate Body must defer making the final decision as to whether the NQT has met the core standards until the NQT has passed the test (see paras 3.25 – 3.30). Evidence relevant to the decision however should be retained.

Action following failure to complete induction satisfactorily

2.105 Failure to complete the induction period satisfactorily means that the NQT is no longer eligible to be employed as a teacher in a maintained school, a maintained nursery school, a non-maintained special school or a pupil referral unit.

2.106 The employer of an NQT who is working in a relevant school⁷ and who has failed induction must dismiss the NQT within ten working days from the date when the NQT gives notice that they do not intend to exercise their right to appeal, or from the date when the time limit of twenty

working days for appeal expired without an appeal being brought about.

2.107 [The names of NQTs who have failed satisfactorily to complete the induction period will be included on the list kept by the Secretary of State under section 141C of the Education Act 2002.]

2.108. If the NQT's appeal is heard, and he or she has been judged as having failed induction, the employer of an NQT who completed induction in a relevant school should dismiss the NQT within ten working days of being told of the outcome of the hearing.

Record keeping/retention and confidentiality

Record keeping

2.109 The Appropriate Body is responsible for keeping a record of the name; teacher reference number; date of birth and the amount of the induction period served for each NQT for whom it is the Appropriate Body. These records are based upon information from headteachers/principals about NQTs starting or completing induction or those leaving part-way through induction. The Appropriate Body should also monitor the return of assessment forms and contact the institution concerned when assessment forms have not been submitted or signed on time.

2.110 As the Appeal Body the Teaching Agency keep records of all appeals but they also maintain a central record of those who are in the process of completing or who have completed induction (either successfully or unsuccessfully). Hence it is important that institutions provide timely and accurate information to their Appropriate Body, and Appropriate Bodies provide timely and accurate information to the Teaching Agency.

7 A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU.

Retention of assessment reports

2.111 It is recommended that assessment reports are retained by the institution and the Appropriate Body for a minimum of six years (which is in line with the guidance on performance management). NQTs are advised to retain the original copies of their own assessment reports. Retention of assessments is particularly important where an NQT changes jobs part-way through his or her induction.

2.112 If an NQT starts induction in an institution which is part of another Local Authority the Appropriate Body role transfers to that Authority and the new headteacher/principal is responsible for obtaining copies of the relevant paperwork from the NQT's previous Appropriate Body(s). The headteacher/principal is also responsible, upon registration, for alerting the new Appropriate Body to any concerns that have been raised about the NQT's progress by previous employers.

Confidentiality

2.113 The induction process and the assessments generated from it should be treated with confidentiality at all times and should not be shared with anyone not directly involved in the induction process. It should be made clear to anyone viewing such documents that they are confidential and NQTs must be made aware of who has been granted access to their assessments.

Section 3

Special Circumstances

3.1 This section explains the regulations that apply on a less regular basis. It covers shortening an induction period in exceptional circumstances; extending an induction period; supply teaching and NQTs; NQTs employed simultaneously in two or more institutions and special provisions applying to a qualified teacher who has not passed the numeracy skills test on completion of the induction period (Cohort 1).

Reducing the induction period in exceptional circumstances (Regulation 9(5))

3.2 The regulations allow the prescribed induction period (see paras 2.38 – 2.52) to be reduced in exceptional circumstances by up to and including 29 days. This applies only when all of the criteria specified below are met:

- The NQT cannot continue their induction in the same institution the following term (normally due to a time-limited contract);
- The NQT has met the core standards;
- The NQT agrees to the period being reduced in this way; and
- The shortfall in the induction period, when combined with absences that fall during the period, totals 29 days or fewer.

3.3 Where the NQT works part-time, only absences that fall when the NQT is contracted to work should be counted towards the 29 days.

3.4 The Appropriate Body and the headteacher will need to agree when the reduced period is applicable and this should be noted on the final assessment form. It is important that the form is signed by the NQT, the NQT's headteacher and the Appropriate Body to confirm that all three parties agree to the reduction.

3.5 Typical examples of circumstances where it would be appropriate to shorten an induction period would be:

- Case A – a full-time teacher employed at a school goes on long-term sick leave a couple of days into the new term and an NQT is recruited to cover the post for the remaining year. The school is unable to continue the contract into the following year as the original post-holder is returning.
- Case B – a full-time teacher employed at a school goes on maternity leave for a year and an NQT is recruited to cover the post. An induction programme is put in place; the NQT performs well and is able to demonstrate the standards. However, the post-holder then decides to return to duty three weeks before the end of the summer term. The school is not

resourced to support the employment of two teachers for the remaining period.

3.6 Please note that the induction period can only be reduced towards the end of the induction period as the individual must be assessed against, and have met the core standards before a decision to reduce can be finalised. It would not be permissible to make such an assessment at the end of the first or second term.

Extending an induction period

Extension of the induction period prior to completion due to absences

(Regulation 11(1) and (2))

3.7 The induction period (see paras 2.38 – 2.52) is automatically extended prior to completion when an NQT's absences during the period total 30 days or more (with the exception of statutory maternity leave, see para 3.10). In these circumstances the induction period must be extended by the aggregate total of days absent, for example, if the NQT is absent for a total of 35 days, the induction period is extended by 35 days (at least – see 3.8). Please note that when the NQT works part-time, only absences that fall when the NQT is contracted to work should be counted.

3.8 If an NQT is unable to, or chooses not to, continue his or her employment and serve the extension in the same institution, the NQT must find other employment in which to complete the extension. Please note that in these cases the minimum period of employment of a term or equivalent must still be served as the NQT will be working in a new institution (see paras 2.34 – 2.40). This will mean that, depending on the number of absences in question, in some cases the extended period actually served will exceed the number of days originally absent.

3.9 An individual's induction period can only be subject to a pre-completion extension once. Where an NQT is absent for a further period(s) during a pre-completion extension, the Appropriate Body must judge what action to take including whether a post-completion extension should apply (see para 3.11).

Extension of the induction period prior to completion due to statutory maternity leave (Regulation 11(2))

3.10 If an NQT has a break in her induction which includes statutory maternity leave, she may choose whether or not to have induction extended by the equivalent of the part of her absence which was statutory maternity leave. Any outstanding assessments should not be made until she returns to work and has had the opportunity to decide whether to extend induction, and any such request must be granted. If an NQT chooses not to extend her induction period following a period of statutory maternity leave her performance will still be assessed against the core standards. It is, therefore, recommended that an individual in this situation seeks advice from her headteacher, induction tutor or an appropriate union or professional association before making such a decision. For information on statutory maternity leave entitlements, please visit: www.direct.gov.uk/en/employment/employees/workandfamilies/dg_10029285.

Extension of the induction period after induction has been completed (Regulation 16(5)(b))

3.11 The Appropriate Body has the option, when making its decision at the end of the induction period (see para 2.100), to extend the period. It determines the length of the extension, the procedure for assessments during it, and the recommendation at its end. The appropriate body

may decide to extend for reasons beyond the control of one or more of the parties involved, where it would be unreasonable to expect the NQT to have met the core standards. Such reasons might include:

- personal crises, illness, disability or other reasons relating to the NQT;
- issues around the support during induction; or
- where there is insufficient evidence for a decision about whether the core standards have been met to be made.

3.12 An NQT may be unable to, or choose not to, serve a post-completion extension in the institution in which he or she completed the original induction period. He or she will then need to find another post in which to complete the extended induction period. In these circumstances the minimum period of employment must still be served as the NQT will be working in a new institution (see paras 2.34 – 2.40).

3.13 The headteacher/principal must, where an NQT leaves an institution before completing his or her extended induction period, complete an interim assessment and notify the Appropriate Body that the NQT has left (see para 2.88).

Induction periods extended in Wales (before or after completion) (Regulations 11(3) and 17)

3.14 When either a pre-completion or a post-completion extension is granted under Welsh regulations and the NQT is subsequently employed at an institution in England, the period is then treated as having been extended under English regulations.

Supply teaching

Long-term supply teaching posts (more than one term)

3.15 A supply teaching contract can only count towards the induction period if it is clear from the outset that the contract will last for the required minimum period of one term (see paras 2.34 – 2.40 for a full explanation of the minimum period of employment that can count towards induction). The headteacher/principal must also comply with all of the applicable requirements for hosting induction.

Short-term supply teaching posts (less than one term)

3.16 Short-term supply placements of less than one term, or equivalent, cannot count towards induction, as such a post will not provide an NQT with the breadth of experience, support and assessment necessary to enable the NQT to demonstrate that they have met the core standards (see para 1.15). If a short-term supply contract is extended beyond one term the induction programme cannot be backdated but should be put in place as soon as practicable, once it is agreed that the contract will last for a further term or more.

Limit on short-term supply work

3.17 A qualified teacher, who has not completed an induction period, can undertake some short-term supply work in a relevant school⁸ (see para 1.18) but this is limited to 16 months only. The 16 month limit starts on the day that the teacher begins their first short-term supply contract and is measured as a fixed calendar period, rather than an aggregation of short periods of supply work. This means that the 'clock starts ticking' as soon as

⁸ A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU.

short-term supply work commences and does not stop during periods when the teacher is not undertaking short-term supply work.

3.18 Once the 16 month limit is reached the teacher cannot undertake any further supply work (of any duration) in a maintained school, non-maintained special school, maintained nursery school, or pupil referral unit (PRU) unless:

- an extension has been granted by the Appropriate Body (see para 3.19); or
- the post in question is a supply placement of at least one term in a setting in which induction can be undertaken, and the NQT is serving an induction period, in line with this guidance; or
- the teacher is, whilst working part-time on a supply basis, serving induction concurrently on a part-time basis in another post.

Extension of the short-term supply limit

3.19 An Appropriate Body can agree to extend the period during which a teacher can undertake short-term supply work beyond the 16 month limit. Some examples of circumstances that might be considered appropriate would be:

- Personal circumstances, e.g. childcare or other care commitments, that mean the teacher is unable to move to another region in search of posts that can offer induction; or
- Serious illness, injury or disability has prevented or is preventing the teacher from securing a suitable post for induction.

3.20 The Appropriate Body has discretion to extend the limit by up to a maximum of 12 months. The Appropriate Body should confirm its decision to the NQT in writing, including the start and finish dates of any such extension.

3.21 An Appropriate Body is only able to approve an extension to the supply limit for teachers wishing to work in schools for which the Appropriate Body has responsibility. If, for example, a teacher moves to another Local Authority he or she would have to apply to the new Appropriate Body in order to continue to undertake short-term supply work in a relevant school⁹. This is because the employment market may be different in another Local Authority. In all cases it will only be possible to allow an extension of a further 12 months beyond the initial limit of 16 months.

NQTs employed in two or more institutions simultaneously (Regulation 14)

The length of the induction period for NQTs completing induction in more than one institution simultaneously

3.22 Where an NQT serves induction part-time in more than one institution simultaneously, the number of days in the induction period is the same as for anyone else who works part-time (see para 2.49). The separate contracts are added together when calculating the FTE (see para 2.52) and that the number of days served in each institution is totalled together and recorded by the headteacher who is taking the leading role (i.e. the headteacher who will make the recommendation see para 2.96). Each separate contract of employment must meet the minimum period criteria (see paras 2.34 – 2.40).

⁹ A relevant school is a maintained school or non-maintained special school in England, including a maintained nursery school or a PRU.

Requirement for a lead headteacher/principal where an NQT is completing induction in more than one institution simultaneously

3.23 In all cases where induction is served in more than one institution simultaneously, one headteacher/principal acts as the lead headteacher/principal. The lead headteacher/principal:

- must liaise with the other headteachers/principals to ensure that the post(s) are, taken together, suitable (see para 2.24) and together provide a fair opportunity for the NQT to demonstrate all of the standards by the end of the period;
- is responsible for consulting with and gathering evidence from the other headteachers/principals;
- should also, where appropriate, consult the Head of Service who is sometimes responsible for the line management and development of centrally employed teachers; and
- having co-ordinated the evidence, make the recommendation to the Appropriate Body on whether the core standards have been met. Methods of sharing information and gathering evidence for progress reviews, classroom observation and formal assessments should be made clear to all those involved in the process, including the NQT.

Requirement for a lead Appropriate Body where an NQT is completing induction in more than one institution

3.24 Similarly, in all cases where induction is served in more than one institution simultaneously, it is essential that one Appropriate Body takes the lead in making the decision, following the recommendation from the lead headteacher.

The lead Appropriate Body is also responsible for consulting and gathering evidence from other Appropriate Bodies who are involved in the process.

Special provisions applying to Cohort 1 teachers who have not passed the numeracy skills test on completion of the induction period

3.25 Teachers who gained QTS in England between 1 May 2000 and 30 April 2001 are known as Cohort 1 teachers and must additionally pass the numeracy skills test before they can complete induction satisfactorily. A teacher in Cohort 1 who has completed an induction period, including any pre-completion extension, but who has not passed the numeracy test, cannot lawfully be employed as a teacher in a relevant school¹⁰. Such teachers are able to teach on a short-term supply basis, subject to the limits set out in paras 3.15 – 3.21.

3.26 The headteacher/principal must check the status of any Cohort 1 teacher before offering an appointment to complete statutory induction. The Teaching Agency holds details of Cohort 1 teachers who are prohibited from working in a relevant school because they have completed an induction period but have not passed the numeracy skills test. Institutions should encourage and support NQTs who need to pass the numeracy test to do so as soon as possible before the end of their induction period, seeking advice from TDA as necessary.

3.27 Where an NQT who is part of Cohort 1 completes an induction period but has yet to pass the numeracy skills test the headteacher/principal should complete the final assessment (including the written recommendation indicating whether or not the NQT has met the core standards) and submit this to the Appropriate Body as normal.

¹⁰ A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU.

3.28 The Appropriate Body must then defer making the final decision on whether the NQT has met the standards until the NQT has passed the test. Instead the Appropriate Body must notify the NQT, the head teacher/principal, the Teaching Agency and the employer that the decision has been deferred and retain the recommendation and any supporting evidence.

3.29 The employer must then terminate the individual's employment as soon as is practicable.

3.30 Once an NQT in Cohort 1 passes the test, he or she must notify the Appropriate Body. The Appropriate Body should then make a decision as to whether or not the core standards have been met (this must be within 20 working days of receiving the notification). If the individual is judged to have passed induction he or she will then be permitted to work in a relevant school. If the individual is judged not to have met the core standards upon completing an induction period he or she must be notified by the Appropriate Body of the right to appeal (see Section 5) as normal.

Section 4

Unsatisfactory Progress

4.1 The vast majority of NQTs will complete the induction period satisfactorily. Nevertheless, there will be NQTs who, at some stage of their induction programme, may be judged to be making unsatisfactory progress or feel themselves that they are not progressing as they would like to.

If this occurs, early action must be taken in order to provide the NQT with the opportunity to make the necessary improvements to his or her performance.

Acting early in the event of unsatisfactory progress

4.2 All NQTs must be monitored in accordance with this guidance. This process should enable the headteacher or principal to identify any difficulties experienced by the NQT in making progress towards the core standards at an early stage.

4.3 The headteacher/principal and Appropriate Body should act promptly in circumstances where an NQT experiencing difficulties has served part of their induction in another institution, and where at the time of the latest appointment there is only a short period of the induction period left to serve.

It is also important in these circumstances that the headteacher/principal has (as required, on appointment) contacted the previous Appropriate Body to obtain copies of earlier assessment reports,

including any interim assessments and details of any absences. This will ensure any previously identified support needs are met as quickly as possible.

Putting in place additional monitoring and support

4.4 If it becomes apparent that an NQT is not making satisfactory progress, the headteacher or principal must ensure that additional monitoring and support measures are put in place immediately. Action to improve performance must not be delayed until a formal assessment meeting has taken place. Additional action might include setting more specific or shorter-term objectives, and closer monitoring and recording of progress. It is important that concerns are communicated quickly to all those with responsibilities in the induction process, including the NQT, induction tutor and the Appropriate Body. It is especially important that the NQT is made aware of the area(s) in which they need to improve their practice, and that he or she is given every opportunity to improve his or her performance and go on to meet the core standards.

4.5 Where there is concern about the NQT's progress, both the headteacher/principal and the Appropriate Body should be satisfied that:

- the assessment of the NQT is well founded and accurate;
- areas in which improvement is needed have been correctly identified;
- appropriate objectives have been set to guide the NQT towards meeting the core standards; and
- an effective support programme is in place to help the NQT improve and to address identified areas for development.

Arranging a professional review by a third party

4.6 In cases where the induction tutor in an institution is not the headteacher/principal, the headteacher/principal must observe the teaching of any NQT considered not to be making satisfactory progress, in addition to the observations which take place as a part of the induction process, and review the available evidence. Where the induction tutor is the headteacher/principal, the headteacher/principal should ensure that a third party who holds QTS reviews the evidence and observes the NQT (for example an AST or other experienced teacher in the institution).

Action if performance is still unsatisfactory at the next assessment point

4.7 In many cases the additional monitoring and support measures mentioned above will have the desired effect and the NQT will go on to be formally assessed at the end of the period as having met the core standards.

4.8 However in some cases improvement will not be enough. Where there are still concerns about the NQT's progress at the next assessment point (and this is not the final assessment), the headteacher/principal should explain to the NQT the consequences of failure to complete the induction period satisfactorily and discuss fully with the NQT:

- the identified weaknesses;
- the agreed objectives previously set in relation to the requirements for the satisfactory completion of induction, updating these as necessary;
- details of additional monitoring and support put in place;
- the evidence used to inform the judgement; and
- details of the improvement plan for the next assessment period.

4.9 Following the discussion the headteacher/principal must complete the relevant assessment form and send it to the Appropriate Body, indicating to the Appropriate Body that, at their current rate of progress, the NQT is at risk of not completing their induction satisfactorily. In addition to comments on progress, the completed assessment form should, in these circumstances, include brief details of the issues discussed.

4.10 The NQT should as normal sign the assessment form to confirm that he or she is aware of the contents of the form. The headteacher/principal should then give the original copy of the completed form to the NQT, send a copy to the Appropriate Body and retain a copy.

4.11 Where performance remains unsatisfactory at the point of the final assessment the headteacher should follow the guidance and take action as set out (see paras 2.96 – 2.98).

Action in the event of serious capability problems

Appropriate Body when asked to do so, so that appropriate support can be provided.

4.12 In a few particularly serious cases it may become necessary for the headteacher/principal to instigate a capability procedure at a stage before the end of the induction period, which may lead to dismissal before the end of the induction period. If this is the case, for as long as the NQT remains at the institution the induction procedure must continue in parallel with the capability procedure.

4.13 Before instigating a capability procedure (in line with locally agreed policy), it is important that the headteacher/principal is sure that the following actions have first taken place:

- the NQT's performance has been monitored;
- the NQT has been clearly advised about the aspects of their practice which are causing concern and understands the improvements which are expected;
- a reasonable and time-limited period (of at least four weeks) of careful and structured support, training, monitoring, evaluation and evidence gathering has taken place, giving the NQT every opportunity to improve; and
- the NQT has been given an informal warning that failure to improve may lead to instigation of the formal capability procedure and that this may lead to dismissal.

4.14 If an NQT is dismissed on grounds of capability before the end of the induction period, he or she would still be allowed to seek suitable employment to complete induction at another institution, as all NQTs must complete a full induction period before they can be judged to have failed induction. The Appropriate Body should pass on promptly any induction records, documentation and assessments, including interim assessments, to the new school and new

Section 5

The Appeals Procedure

Making an appeal

5.1 If an NQT fails induction, or has their induction extended by the Appropriate Body, the Appropriate Body must advise the NQT of his or her right to appeal, who to appeal to, and the time limit for doing so. In England the Appeal Body is the Teaching Agency (on behalf of the Secretary of State). If, however, the NQT completed the final term of their induction in Wales, they must appeal to the General Teaching Council for Wales (GTCW).

5.2 If the NQT (the appellant) decides to make an appeal he or she must send a written notice of appeal to the Teaching Agency within 20 working days¹² beginning with the date the appellant received notice of the Appropriate Body's decision. The Teaching Agency will have discretion to extend this time limit in cases where not to extend the time limit would result in substantial injustice to the NQT. The notice of appeal should include all of the following information:

- the name and address of the appellant;
- the appellant's teacher reference number and date of birth;
- the name and address of the institution at which they were employed at the end of their

induction programme;

- the name and address of their employer, if employed as a teacher, at the date of the appeal;
- the grounds of appeal;
- the name, address and profession of anyone representing the NQT in this matter, and an indication of whether the Teaching Agency should send appeal documents to the representative rather than to the NQT;
- whether the teacher requests an oral hearing or not; and
- if the appeal is going to miss the deadline, justifications from the NQT for the delay, which the Teaching Agency must consider.

5.3 It is important that the NQT signs the notice of appeal as it will be invalid without the appellant's signature.

5.4 The NQT should send the following additional material with the notice of appeal:

- a copy of the document from the Appropriate Body notifying the NQT of its decision;
- a copy of any document from the Appropriate Body outlining its reasons for coming to this decision; and
- a copy of any other document which the NQT considers to be evidence for the appeal.

¹² Working day means any day other than a Saturday, a Sunday, Christmas Day, Good Friday or a day which is a bank holiday within the meaning of the Banking and Financial Dealings Act 1971 in England.

5.5 The appeal should be addressed to the Induction Appeals Team:

The Teaching Agency
Earlsdon Park
53-55 Butts Road
Coventry
CV1 3BH

5.6 Appellants can amend or withdraw their grounds of appeal or any part of their appeal material without permission right up to the date they receive notice of the appeal hearing date or notice that the appeal will be decided without a hearing. They can also submit new material in support of the appeal. After the hearing date has been arranged the appellant needs the permission of the Secretary of State to amend or withdraw their appeal, or submit further material. Once an appeal is withdrawn it cannot normally be reinstated, although an appeal which has been withdrawn in error may be reinstated in exceptional circumstances.

Action once a notice of appeal has been received

5.7 Within the Teaching Agency, the correspondence for an appeal is handled by the 'proper officer'. Within three working days of receiving the notice of appeal, that officer will:

- send an acknowledgement to the appellant;
- send copies of the notice of appeal and accompanying documents to the Appropriate Body; and

- send a copy to the headteacher/principal who made the final induction recommendation and any current teaching employer, if not the LA.

5.8 The proper officer will also copy any later evidence, amendments, additions or notices of withdrawal to the above.

5.9 The Teaching Agency will be able to request additional material from the appellant if it thinks such material could allow the appeal to be more fairly decided. If the Teaching Agency does this it must inform the Appropriate Body that it has done so, within three working days of the request. If the appellant decides to provide such material in response to a request then they should do so within ten working days of the date of the request. Within three working days of receiving such material, the Teaching Agency must send copies to the Appropriate Body.

5.10 The Appropriate Body has 20 working days from receiving the notice of appeal to respond. If the Appropriate Body decides at any time that it does not want to uphold the disputed decision, it should inform the Teaching Agency, who will allow the appeal. The Appropriate Body's reply must contain:

- the name and address of the Appropriate Body;
- whether the Appropriate Body seeks to uphold the disputed decision;
- where the Appropriate Body seeks to uphold the decision, it should provide an answer to each of the NQT's grounds for appeal;
- whether the Appropriate Body requests an oral hearing; and
- the name, address, and profession of anyone representing the Appropriate Body, and whether documents should be sent to them instead.

5.11 The Appropriate Body should also send any other documents, which it considers to be evidence in its response to the appeal, and, if the NQT has not already supplied it, a copy of the written statement giving its reasons for the

decision. The Appropriate Body can also submit further documents and amend or withdraw its reply up until the day the hearing is notified (if applicable). The proper officer must send a copy of the reply from the Appropriate Body to the appellant within three working days of receiving it.

The Appeal Body's decision

Decision by oral hearing

5.12 Where an appeal is to be decided on the basis of an oral hearing the Secretary of State must appoint a panel consisting of at least three members to consider the appeal and to make a recommendation to the Secretary of State about the outcome. The Secretary of State will make the final decision.

5.13 The Induction Appeal Panel of the Teaching Agency is responsible for considering appeals and making a recommendation to the Secretary of State. The Teaching Agency

will ensure that Panel members receive appropriate training to undertake this role. The Teaching Agency will keep its procedures under review to determine the most effective way to consider appeals.

5.14 The Teaching Agency must fix a date for a hearing within 20 working days from the expiry of the time limit for the Appropriate Body's reply by sending the appellant and the Appropriate Body notice of the time and place of the hearing. The notice of hearing must be accompanied by guidance about the procedure at the hearing, a warning about the consequence of not attending, and information about the right to submit written representations if they do not attend. The hearing will be at least 15 working days from the date of the notice.

5.15 Both the NQT and the Appropriate Body have to reply at least ten working days before the hearing, to say if they will attend or be represented by someone else and what, if any, witnesses they wish to call. If they are not proposing to attend or be represented at the hearing they must also

provide any further written representations they wish to make. Any written representations submitted will be copied to the other party.

5.15 The procedure at the hearing will be decided by the Teaching Agency, but will be subject to the rules of natural justice, with full and open disclosure of documents. Both sides will be able to call witnesses, though it will be up to the parties to arrange for their witnesses to appear. Hearings will be in public although the Secretary of State has power to decide that a hearing or some part of it should be in private.

5.16 The Secretary of State makes the final decision based on the recommendation of the Panel. This document should be signed and dated and contain a statement of the reasons for the decision. The Teaching Agency should then send a copy of the document to the appellant, the Appropriate Body and the headteacher/principal who made the final induction recommendation and any current teaching employer, if not the LA, within three working days of the date the decision was made.

Decisions without an oral hearing

5.17 The Secretary of State can make a decision on an appeal without an oral hearing if they consider an oral hearing is not necessary and neither party has requested one. They can also make a decision without a hearing if the Appropriate Body has not replied in time: however in such cases they may only allow the appeal. Where a decision is made without a hearing the Teaching Agency must notify all parties of any such decision within three working days from the day the decision was made.

The cost of an appeal

5.18 In all cases the appellant and the respondent will have to bear their own costs. There is no requirement to bear the costs of the other party in the event of a decision against one party.

Section 6

Roles and Responsibilities

6.1 This section summarises the roles and responsibilities of those involved in the induction process, and can be used by those seeking a quick reminder of what they are required to do. The section covers the roles of the:

- NQT;
- headteacher/principal;
- induction tutor;
- governing body;
- Appropriate Body; and
- the appeal body.

The NQT

6.2 Before the period starts:

- check that they have passed any skills tests prior to starting the induction period;
- check with the Teaching Agency that they have been awarded QTS before starting an induction period; and
- provide evidence that they have QTS and are eligible to start induction.

6.3 Once the period has started:

- at the earliest opportunity following appointment meet with their induction tutor to discuss and agree priorities for their induction

programme and development, and keep these under review;

- agree with their tutor how best to use their reduced timetable allowance;
- monitor their progress against the core standards (see para 1.15);
- participate fully in the agreed monitoring and development programme;
- (only) if they are a Cohort 1 teacher, ensure that they pass the numeracy test before completing the induction period and notify the Teaching Agency;
- raise any concerns with their induction tutor as soon as practicable;
- consult their Appropriate Body named contact at an early stage where there are or may be difficulties in resolving issues with their tutor/within the institution;
- keep track of and participate effectively in the scheduled classroom observations, 6 progress reviews and 3 formal assessment meetings;
- agree with their induction tutor the start and end dates of the induction period/part periods and the dates of any absences from work during any period/part period; and

- retain copies of all assessment forms and other documentation. This, along with tracking start and end dates for the induction period is especially important in cases where the NQT has a break/change of employer during the induction period (see para 2.111).

6.4 In addition to the above:

- whilst not serving induction, teachers, who are subject to them, should comply with the limits on supply teaching and seek approval from the relevant Appropriate Body to extend the limit, where required.

Headteachers and principals

6.5 The headteacher/principal is, along with the Appropriate Body, jointly responsible for the supervision and training (professional development) of the NQT during induction, and must:

6.6 Before the induction period starts:

- clarify whether the teacher needs to serve an induction period or is exempt, and check the supply limit status of a teacher yet to satisfactorily complete induction, if the post is on a short-term supply basis;
- check with the Teaching Agency that the NQT has QTS and has passed the relevant skills tests in good time before the NQT's statutory induction period starts;
- notify the Appropriate Body when an NQT who is taking up a post in which they will be undertaking induction joins the school/college, before the appointment begins (see para 2.31);
- ensure the NQT's post is a suitable post in which to serve induction;
- ensure that an appropriate induction programme is in place;

- ensure the NQT has both a reduced timetable and PPA time as necessary;
- where relevant, obtain documentation from the NQT's previous post including any interim assessment and details of absences, and take this into account in determining the length and nature of the NQT's induction programme and period;
- in the case of an FE institution or independent school, reach agreement as to who will be the Appropriate Body (see paragraph 2.31)

6.7 Once the induction period starts:

- appoint an induction tutor (who must hold QTS) and ensure that an appropriate cycle of observations, progress reviews and formal assessments is scheduled (ideally in advance) and takes place;
- ensure the induction tutor is appropriately trained and has time to carry out their role;
- act early, alerting the Appropriate Body when necessary, in cases where an NQT may be at risk of not completing induction satisfactorily;
- ensure third party observation of an NQT whose progress towards meeting the standards may be at risk;
- maintain accurate records of periods of employment that will count towards the induction period;
- monitor absences and notify the Appropriate Body as soon as absences over the whole period total 30 days or more;
- periodically inform the governing body about the institution's induction arrangements;
- ensure termly assessments reports are completed (on pro rated time scale for part-time staff) and sent to the Appropriate Body as required;

- participate appropriately in the Appropriate Body's quality assurance procedures;
- consult and agree with the Appropriate Body in exceptional cases where it may be appropriate to shorten the induction period;
- within ten days of the NQT completing the induction period, make a recommendation to the Appropriate Body on whether the NQT has met the core standards, using agreed forms ;
- provide interim assessment reports for staff moving in between formal assessment periods;
- notify the Appropriate Body when an NQT serving induction leaves the school/college; and
- retain all relevant documentation/evidence on file for six years (see para 2.112).

6.8 In addition to the above, FE headteachers/principals of independent schools should also:

- agree, in advance of the NQT starting the induction programme, which authority will act as the Appropriate Body (see below);
- agree the scale and nature of any charges for services provided by the AB; and
- ensure the NQT's post and responsibilities comply with the specific requirements for FE institutions and independent schools (see paras 2.6 – 2.10).

Induction tutors

6.9 The induction tutor (or the headteacher where he/she carries out this role) provides the NQT with day-to-day monitoring and support and must:¹³

- provide, or co-ordinate, guidance and effective support including coaching and mentoring for the NQT's professional development (with the Appropriate Body where necessary);

- carry out six reviews of progress during the induction period ;
- undertake three formal assessment meetings during the total induction period co-ordinating input from other colleagues as appropriate (normally three termly, or pro rated for part-time staff);
- ensure that at least six observations of the NQT's teaching take place and that the NQT is provided with copies of written feedback records (see para 2.69–2.71);
- ensure NQTs are aware of how, both within and outside the institution, they can raise any concerns about their induction programme or their personal progress; and
- take prompt and appropriate action where an NQT appears to be experiencing difficulties (see para 4.2).

The governing body

6.10 The governing body:

- must ensure compliance with this guidance, and in particular ensure that the headteacher/principal is fulfilling his or her responsibility to provide any NQTs serving induction in the institution with a suitable post (including a reduced timetable and PPA – see para 2.27) and the necessary support, monitoring and assessment;
- can request general reports on the progress of an NQT but are not automatically entitled to have access to an individual's assessment forms;
- investigate concerns raised by an individual NQT as part of the institution's agreed grievance procedures; and

¹³ Aspects of this role may be shared between an induction tutor, in a co-ordinating role, and individual mentors.

- seek guidance from the Appropriate Body on the quality of the institution's induction

arrangements and the roles and responsibilities of staff involved in the process.

The Appropriate Body

6.11 The Appropriate Body, along with the headteacher/principal, is jointly responsible for the supervision and training (professional development) of the NQT during induction and has the main quality assurance role.

The Appropriate Body must:

- confirm that the headteacher/principal has checked the NQT has QTS (including the relevant skills tests) (see para 2.17);
- notify the Teaching Agency that the NQT has started induction;
- provide the NQT with a named contact(s) within the Appropriate Body with whom the NQT may raise concerns about their induction programme, where the institution does not resolve them (see para 2.32);
- confirm and monitor that the NQT (in a maintained school) is working to a 90% timetable and has PPA time (see para 2.27), or in a further education institution, or independent school, has a reduced timetable on a comparable basis to that required in maintained schools;
- offer advice and where practical and possible, direct help, to FE institutions (including sixth form colleges) to assist them in finding schools for NQTs to spend their mandatory ten days teaching children of compulsory school age in a school (see para 2.62);
- maintain records and assessment reports for each NQT undertaking induction for whom it acts as Appropriate Body (see para 2.109);
- assure itself that headteachers/principals, induction tutors and governing bodies are aware of, and are capable of meeting their responsibilities;
- act early in cases where an NQT may be experiencing difficulties, to ensure the assessments are fair and provide support as appropriate;
- where an institution appears not to be providing an appropriate programme or support, contact the institution to raise its concerns immediately (in writing, as appropriate) well before the end of the NQT's induction period or part period.
- as appropriate and as agreed, provide institutions with guidance, support and assistance in relation to NQT induction programmes, and training for teachers e.g. for induction tutors;
- monitor/write to notify relevant NQTs about pre-completion extensions (see para 3.7);
- approve cases where shortening an induction period in exceptional circumstances is required and record the decision on the relevant assessment form (see para 3.2);
- decide whether to extend a teacher's entitlement to short-term supply work once the initial 16 month time limit has been reached (see para 3.19);
- at the end of the period decide whether the NQT has met the core standards and notify the relevant parties within the agreed timelines (paras 2.99 – 2.102);
- decide whether to extend an induction period post-completion (see para 3.11) and notify the relevant parties within the agreed timelines;

- notify the Teaching Agency with details of NQTs who have commenced an induction period; completed an induction period and met the standards; and those who leave a school partway through an induction period;
- notify The Teaching Agency within three days of reaching a decision, of those NQTs whom the Appropriate Body judges to have failed induction, or of those whose period the Appropriate Body decides should be extended; and
- in relation to independent schools and Further Education institutions as appropriate, reach agreement with head teachers and principals to act as the Appropriate Body, including agreeing the scale and scope of any charges to be made.

The Appeal Body

6.12 The Teaching Agency (on behalf of the Secretary of State) is the Appeal Body in England. If an NQT chooses to appeal against a decision that they have failed to satisfactorily complete induction or the imposition of an extension, the Appeal Body can:

- allow the appeal;
- dismiss the appeal; or
- extend the period for as long as the Appeal Body sees fit (which may mean substituting a different extension for one originally put in place by the Appropriate Body).

6.13 See Section 5 for full details of the induction appeals process.

6.14 For further information on induction in Wales, please visit the Welsh Assembly website at www.learning.Wales.gov.uk.

Teaching Agency

6.15 The Teaching Agency will carry out specific duties on behalf of the Secretary of State including:

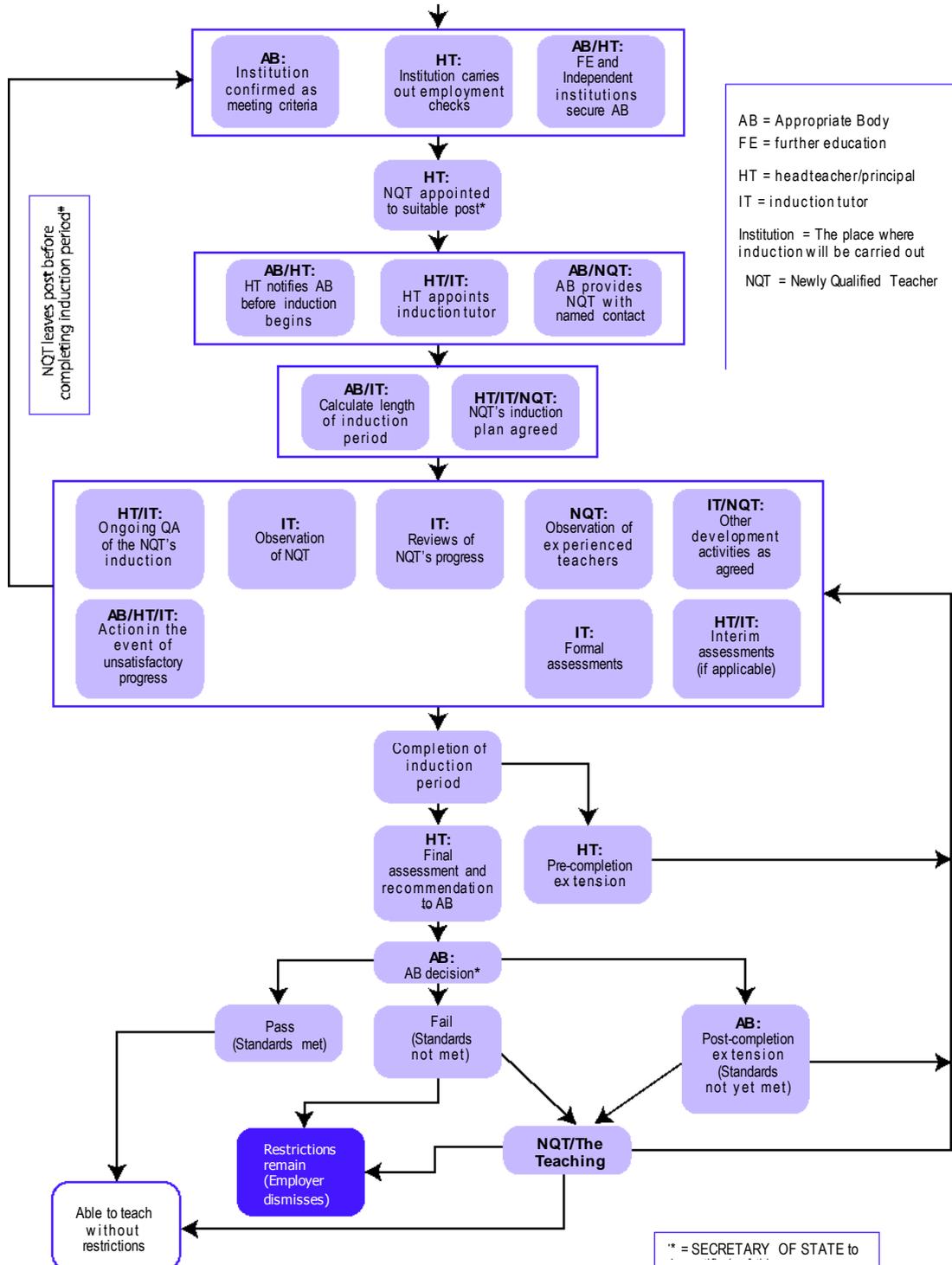
Statutory

- hearing appeals; and
- ensuring that the names of NQTs who have failed induction are included on the list of persons who have failed satisfactorily to complete an induction period.

Non-statutory

- recording the progress of NQTs through their induction process and providing details of teachers who have passed or failed induction to employers through their Employer Access Online service.

Overview of the Induction Process



Annex B

Exemptions

Where a qualified teacher may be employed in a relevant school¹⁴ in England without having satisfactorily completed an induction period

References in Schedule 2 ¹⁵	Exemption	Explanation
Para 1	A person who was already a qualified teacher on 7 May 1999.	A teacher who gained QTS on or before 7 May 1999 (even if they did not take up their first post until after September 1999).
Para 2	A person currently undertaking a period of induction.	A teacher who is serving his or her induction period in a permitted setting, including periods which have been extended (including those who have completed an induction period in England or Wales and are awaiting the decision of the Appropriate Body).
Para 3	A person waiting for the outcome of an appeal having not met the core standards.	A teacher who is waiting for the outcome of appeal against a decision of failure to meet the core (induction) standards.
Para 4 (a) Para 4 (b)	A person employed on a short-term supply basis, without undertaking induction.	A teacher who is employed as a short-term supply teacher (working periods of less than one term). This can generally only be done for 16 months after the date of his or her first appointment as a supply teacher. A teacher who has exhausted the 16 month limit on short term supply work (see 4(a) above) but who has sought an extension from his or her Local Authority, allowing him or her to undertake further short-term supply work for up to 12 months. Please note the extension begins from the date of his or her first appointment as a supply teacher following the end of the 16 month limit. (please see paras 3.15 – 3.21 for further information on induction and supply work)

¹⁴ A relevant school is a maintained school or non maintained special school in England, including a maintained nursery school or a PRU.

¹⁵ Of the Education (Induction Arrangements for School Teachers) (England) Regulations 2008, as referred to under regulation 6.

References in Schedule 2 ₁₅	Exemption	Explanation
Para 5	A person employed part-time as a supply teacher whilst also undertaking induction.	A teacher who is employed as a short-term supply teacher on a part-time basis but who is concurrently serving induction. Please note that the 16 month limit (see 4(a) above) does not apply to teachers in this situation.
Paras 6, 8, 12, 13, 14,	A person who has satisfactorily completed induction, probation, or the equivalent in certain other countries.	The countries which qualify are Scotland, Northern Ireland, Wales, Isle of Man, Guernsey, Jersey, Gibraltar, or in a Service Children's Education (SCE) school in Germany or Cyprus.
Para 7	A person who trained in England, and then subsequently first worked as a teacher in Wales (before 2003).	A teacher who gained QTS in England on or after 7 May 1999 but before 1 April 2003, and who, subsequently, took up his or her first post in Wales and who has served at least two terms in a teaching or supply teaching post in Wales.
Para 10	A person from the European Economic Area (EEA) (who falls within Part 2 and Chapters 1,2 and 4 of Part 3 of the European Communities (Recognition of Professional Qualifications) Regulations 2007(b))	A teacher from the EEA who has applied successfully to the Teaching Agency for QTS, or, a teacher from the EEA who has declared successfully to the Teaching Agency to work in England on a temporary basis. Teachers who wish to make an application should contact the Teaching Agency on 0370 496 8324.
Paras 15 and 16	Scottish or Northern Irish trained teachers employed in England on or before 7 May 1999.	Teachers who trained in Scotland or Northern Ireland and who were employed as teachers in England before 7 May 1999.
Para 17	A person who became a qualified teacher virtue of regulation 5 of, and para 12 of Schedule 2 to, the 2003 Qualification Regulations. i.e. certain teachers who gained QTS whilst working in an independent school.	<p>A teacher who has been judged as meeting the specified QTS standards, whilst working in an independent school. Please note all of the following criteria must have been met:</p> <ul style="list-style-type: none"> • he or she must have been employed by an independent school before 1989; • he or she must have gained a specified qualification before 1974 or 1989 (dependent upon the type of qualification); • he or she must have been employed in an independent school at the time of recommendation; and • the recommendation must have taken place prior to September 2004.

Para 18	An Overseas Trained Teacher (OTT), from outside the EEA, who has gained QTS and was simultaneously and successfully assessed against the core standards and QTS standards.	An overseas-trained teacher (from outside the EEA) with at least two years' experience, who has obtained QTS and who has been simultaneously assessed as meeting the QTS and core standards by the Teaching Agency. Overseas- trained teachers wishing to present themselves for assessment will need to contact the Teaching Agency.
Para 19	A person who became a qualified teacher virtue of regulation 5 of, and para 13 of Schedule 2 to, the 2003 Qualification Regulations. i.e. certain teachers who gained QTS whilst working in a Further Education Institution or as an instructor in a school.	A teacher who has been as meeting the specified QTS standards, whilst working in a further education institution (FEI) or as an instructor in a school. Please note all of the following criteria must have been met: <ul style="list-style-type: none"> • he or she must have been employed by an FEI/school before 1 989; • he or she must have gained a specified qualification before 1974 or 1989 (dependent upon the type of qualification); • he or she must have been employed in an FEI/ school at the time of recommendation; and, • the recommendation must have taken place prior to September 2004. For further details please contact the Teaching Agency on 0370 496 8324.
Para 21	Completed a course of initial teacher training in Wales before September 2003.	A teacher who completed a course of initial teacher training in Wales before September 2003.
Para 22	A qualified overseas trained teacher from Australia, New Zealand, Canada or USA.	Teachers who have successfully completed a programme of professional training for teachers in Australia, Canada, the United States or New Zealand
Para 23	A person who has been awarded QTLS status by the Institute for Learning (IfL); and holds membership with the IfL.	Teachers who have been awarded Qualified Teacher Learning and Skills (QTLS) status and who are members of the Institute for Learning (IfL).

Annex C

Useful contacts and links

Department for Education

- Information about induction
<http://www.education.gov.uk/schools/leadership/deployingstaff/b0066959/induction-newly-qualified-teachers>
- Assessment forms
<http://www.education.gov.uk/schools/leadership/deployingstaff/b0066959/induction-newly-qualified-teachers/nqt-forms>

- General enquiries

Public Enquiry Unit
Department for Education
PO Box 12
Runcorn
Cheshire
WA7 2GJ
Tel: 0870 000 2288
E-mail enquiries: info@education.gsi.gov.uk

Teaching Agency

- Information on QTS, induction appeals procedure and general induction enquiries

Address Piccadilly Gate
Store Street
Manchester
M1 2WD
Tel: 0370 496 8324
E-mail Induction.QUERIES@education.gsi.gov.uk

Independent Schools Teacher Induction Panel (ISTIP)

23 Austin Friars
London
United Kingdom
EC2N 2QP
Tel: 0203 586 3136
Website: www.istip.co.uk

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Department
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