



Saffron
Teaching School
Hub

Saffron Appropriate Body

Escalation Policy

Guidance for ECTs, Mentors, Induction Tutors and
Headteachers

September 2024

<https://www.saffronteachingschoolhub.net/>

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Introduction

This policy should be read in conjunction with the Saffron Appropriate Body ECT Induction Handbook which sets out the roles and responsibilities of all parties.

This policy is to help Induction Tutors, ECTs and Headteachers understand the processes to follow if an ECT is not making sufficient progress towards meeting the Teachers' Standards by the end of their Induction Period.

ECT Induction Policy

Please make sure that your school/Trust has a ECT Induction Policy that is published on your website. This is one of the statutory policies required by the DfE. It is recommended that it is reviewed annually.

Assessment principles

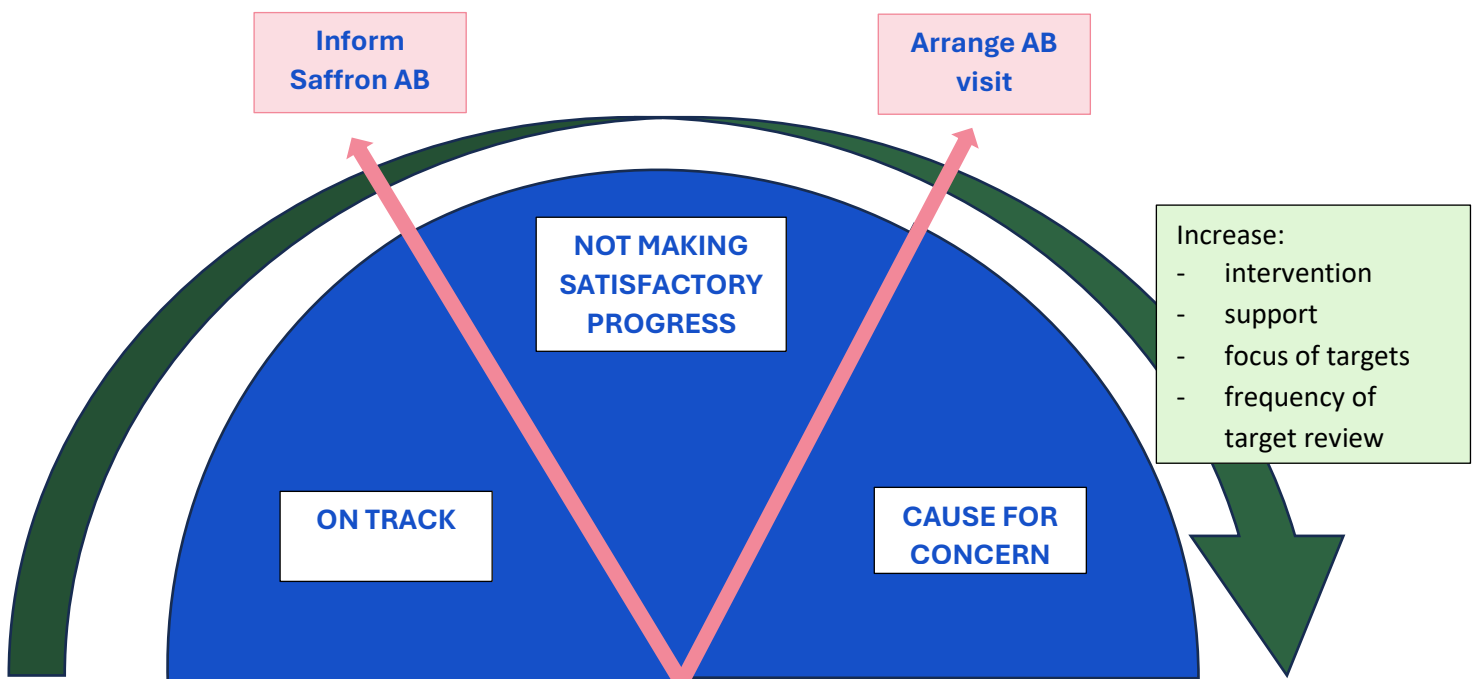
- The ECT is assessed against the Teachers' Standards (TS).
- The responsibility for assessment of the ECT lies with the Induction Tutor. Schools with large numbers of ECTs may delegate some of the task of assessing but the Induction Tutor remains responsible for these assessments.
- All ECTs should have an Action Plan detailing their targets. A template for this can be found on Saffron ECT Manager and in the Saffron Appropriate Body Induction Handbook.
- The ECT should be kept up-to-date on their progress throughout the induction period. There should be nothing unexpected.
- There are occasions when an ECT does not make the expected progress. It is important that any possibility of failure to meet the Teachers' Standards is recognised and acted upon **at the earliest opportunity**. Action should not be left to the Review and Assessment meetings which occur at the end of each term.

Concerns around ECTs

3 step escalation process

Saffron Appropriate Body has a three step process for using assessments to inform future targets and support for the ECT. The detail on the Action Plan depends on the assessment made.

1. The ECT is **ON TRACK**
 - a. The ECT will be meeting the TS before or by the end of their Induction Period
 - b. The action plan includes brief details of the ECT's targets and evidence when these have been met
2. The ECT is **NOT MAKING SATISFACTORY PROGRESS** towards the TS
 - a. The ECT is at risk of not meeting the TS by the end of their Induction Period
 - b. The action plan includes comprehensive details of the ECT's targets and evidence **and** is uploaded to the ECT's documents section on ECT Manager
 - c. Inform the AB of the escalation from step 1 to step 2
 - d. The AB will review the Action Plan and check in with the Induction Tutor half-termly
3. The ECT's progress is a **CAUSE FOR CONCERN**
 - a. The ECT is unlikely to meet the TS by the end of their induction period
 - b. The action plan includes comprehensive details of the ECT's targets and evidence **and** is uploaded to the ECT's documents section on ECT Manager
 - c. Inform the AB of the escalation from step 2 to step 3
 - d. The AB will visit, talk to all parties and review all documentation



HR Processes alongside ECT Induction

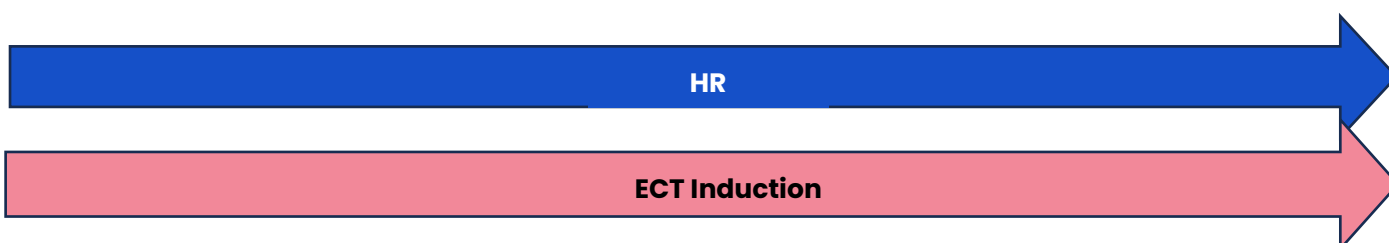
In a few instances, it may be necessary to instigate capability procedures at a stage before the end of the induction period, which may lead to dismissal before the end of the induction period.

If this is the case, for as long as the ECT remains at the institution the induction process must continue in parallel with the capability procedure. The Appropriate Body should be informed.

Dismissal on the grounds of capability before the end of the induction period does not prevent the ECT from completing induction at another institution, as **all ECTs must complete a full induction period before they can be judged to have failed induction.**

Responsibility for HR procedures rests with the employer not the AB but the AB must be informed that the ECT is not on track as early as possible.

All organisations have their own policies and processes relating to HR. For example, not all schools use a probation period (*) with ECTs. An example model of the way in which HR processes work alongside ECT Induction can be seen below.



Timeline	Term 1 (Year 1)	Term 2 (Year 1)	Term 3 (Year 1)	Term 4 (Year 2)	Term 5 (Year 2)	Term 6 (Year 2)	Term 7 (Year 3)
Statutory ECT Induction							No
Performance management	No	No	No	No	No	No	Yes
Probation Policy*	Note: not all schools choose to have a probation period	No	No	No	No	No	No
Disciplinary/ Conduct	Covered by probation if the school has a probation period						
Capability	Covered by probation if the school has a probation period						

Concerns around Schools

We know that most schools foster strong and supportive working relationships with their Appropriate Body and Early Career Teachers. However, there may be circumstances which indicate that a school is not fully complying with the statutory duty of ECT induction as outlined previously within this policy and in the Statutory Guidance for the Induction of ECTs. The following process will be followed in this circumstance.

Step 1 Indications of concern around the school are raised through reviews, surveys, event feedback, drop ins, phone calls, wider sector feedback, ECTs voice, or where statutory paperwork has not been completed.



Step 2 In the first instance, mediation and discussion with the headteacher and Induction Tutor may take place to clarify the expectations and provide advice on the information that is required. At this point the AB lead will make a decision as to whether a Quality Assurance (QA) visit is necessary.



Step 3 The AB will assess whether the school is fulfilling its statutory duties. A QA visit will ensure compliance and capture the voices of the Headteacher, Induction Tutor, Mentor and ECT in a fair and objective way. If the ECT is absent during the QA visit, their voice will be captured upon their return. The AB Lead will share the report and findings/observations with the Headteacher, Induction Tutor, Mentor and ECT. The aspects for development will be made clear to the Headteacher with further advice and support offered.



Step 4 The AB will book in another visit to check that the actions have been implemented since the last visit if there were actions which indicated a concern around the ECT's statutory entitlement or the school's approach.



Step 5 If school continues not to fulfil their statutory duty following their second QA visit, the Local Governing Body will be informed in writing.



Step 6 If the school continues with non-compliance in relation to the Statutory Guidance for the Induction of ECTs, the Appropriate Body will then escalate this to the Local Authority/ Trust in writing.



Step 7 If steps 1-6 have not resulted in the school fulfilling their statutory duty, this will then be escalated to the DfE in writing.

Complaints Procedure

Please read the [Saffron Appropriate Body Complaints Policy and Procedure](#).

Appeals

Making an Appeal against a decision by the Appropriate Body

The Appropriate Body Advisory Panel has been established by Saffron Teaching School Hub to hear evidence and moderate assessment decisions made by the Saffron Appropriate Body. The panel recommendations inform the Appropriate Body and do not replace the Appropriate Body's direct role in making a decision for each ECT's assessment. The role of the Advisory Panel is therefore to:

- hold central to the discussion and decision making the right of every child to be educated by a teacher who is meeting or making satisfactory progress towards meeting the Teachers' Standards
- identify whether the Appropriate Body has fulfilled its statutory duties set out in the Statutory Guidance for Appropriate Bodies in relation to the case being reviewed
- analyse the extent to which the decision presented and made by the Appropriate Body is fair, consistent and objective for the ECT, in light of the available evidence and circumstances
- consider the extent to which the Appropriate Body has reflected and explored all possible factors involved in the case
- challenge, debate and analyse the decisions made by the Appropriate Body, using all available evidence to support the outcome and next steps in relation to the case being presented
- ensure that equality and diversity is consciously considered in decisions being made by the Appropriate Body

The full Terms of Reference for the Saffron Appropriate Body Advisory Panel can be found [here](#).

If an ECT fails induction, or has their induction extended, the Appropriate Body must advise the ECT of their right to appeal, who to appeal to, and the time limit for doing so. In England, the Appeals Body is the Teaching Regulation Agency, which acts on behalf of the Secretary of State.

Further guidance about the appeals process is available [here](#).

Interactions with the Appropriate Body

Interactions across all forms of communication with the Appropriate Body service need to remain professional and respectful, alongside the Teacher's Professional Standards.

Unacceptable behaviour from any party (including bullying, harassment and victimisation) may involve actions, words or physical gestures that could reasonably be perceived to be the cause of another person's distress or discomfort. Bullying or harassment may be by an individual against an individual or involve groups of people.

The Appropriate Body defines behaviour as being unacceptable if it has the purpose or effect of violating the recipient's dignity and/or creating an intimidating, hostile, degrading, humiliating or offensive environment. Unacceptable behaviour does not have to be face-to-face and may take many forms such as written, telephone or email communications or through social media.