

Scarborough UTC

Exclusion Policy

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Statement of intent

At Scarborough UTC, we understand that good behaviour and discipline is essential for promoting a high quality of education.

Amongst other disciplinary sanctions, the college recognises that exclusion of students may be necessary where there has been a serious breach, or consistent breaches, of the college's Conduct for Learning Policy. Excluding a student may also be required in instances where allowing the student to remain in college would be damaging to the education and welfare of themselves or others; in all cases, excluding students should only be used as a means of last resort.

The college has created this policy to clearly define the legal responsibilities of the principal, governing board and LA when responding to student exclusions, in order to ensure that they are dealt with both fairly and lawfully, and in line with DfE statutory guidance.

This policy also aims to secure a student's right to an education despite having been excluded, by ensuring that appropriate arrangements are in place.

Any student who was excluded before September 2017, and whose exclusion is still subject to review at this point, should be considered on the basis of the September 2012 guidance.

Signed by:

Principal

Date:

Chair of governors

Date:

1. Legal framework

- 1.1. This policy has due regard to the related statutory legislation, including, but not limited to, the following:
 - The Education Act 2002 (as amended by The Education Act 2011)
 - The College Discipline (Pupil Exclusions and Reviews) (England) Regulations 2012
 - The Education and Inspections Act 2006
 - The Education Act 1996
 - The Education (Provision of Full-Time Education for Excluded Pupils) (England) Regulations 2007 (as amended 2014)
 - The European Convention on Human Rights (ECHR)
 - The Equality Act 2010
- 1.2. This policy also has due regard to statutory and non-statutory guidance, including, but not limited to, the following:
 - DfE (2017) 'Exclusion from maintained colleges, academies and student referral units in England'
 - DfE (2016) 'Behaviour and discipline in colleges'
 - DfE (2015) 'Special educational needs and disability code of practice: 0 to 25 years'
- 1.3. This policy will be implemented in conjunction with the following college policies and procedures:
 - Conduct for Learning Policy
 - Anti-Bullying Policy
 - Student Code of Conduct

2. Grounds for exclusion

- 2.1. The college will only exclude a student where it is absolutely necessary, and where all other possible disciplinary sanctions, as detailed in the college's Conduct for Learning Policy, have failed to be successful.
- 2.2. The following examples of behaviour may underline the college's decision to exclude a student:
 - Any incident which poses a risk to other students or members of staff, e.g. bringing a weapon onto the premises
 - Any incidents which breach the law
 - Persistent and severe bullying
 - Verbal and physical abuse
 - Constant disruption
 - A single, serious and major incident, e.g. serious assault on another individual leading to injury

- 2.3. Students can be excluded on a fixed-period basis, i.e. up to 45 college days within a year, or permanently. Similarly, students can be permanently excluded following a fixed-period exclusion, where further evidence is presented.
- 2.4. In all cases, the principal will decide which exclusion period a student will be subject to, depending on what the circumstances warrant.

3. The principal's power to exclude

- 3.1. Only the principal has the power to exclude a student from the college, and is able to decide whether this is on a fixed-period or permanent basis. All exclusions will only be issued on disciplinary grounds.
- 3.2. The principal is able to exclude students from the premises where their behaviour is disruptive during lunchtime. All lunchtime exclusions will be counted as half of a college day.
- 3.3. The principal is able to consider a student's disruptive behaviour outside of the college premises as grounds for exclusion, in accordance with the college's Conduct for Learning Policy.
- 3.4. Any decision made to exclude a student will be lawful, proportionate and fair, with respect to legislation relating directly to exclusions and the college's wider legal duties, including the ECHR.
- 3.5. All exclusions will be formally recorded.
- 3.6. When sending a student home following any exclusion, the principal will ensure that they exercise their duty of care at all times and will always inform the parents.
- 3.7. The principal will apply the civil standard of proof when responding to the facts relating to an exclusion, i.e. that 'on the balance of probabilities' it is more likely than not that the facts are true.
- 3.8. The principal may withdraw any exclusion that has not already been reviewed by the governing board.
- 3.9. At all times, the principal will take into account their legal duties under the Equality Act 2010 and the special educational needs and disability code of practice: 0 to 25 years, ensuring that they do not discriminate on any grounds, e.g. race, sex, disability, and will not increase the severity of a student's exclusion on these grounds.
- 3.10. The principal will not issue any 'informal' or 'unofficial' exclusions, such as sending a student home to 'cool-off', regardless of whether or not the parents have agreed to this.
- 3.11. The principal will not use the threat of exclusion as a means of instructing parents to remove their child from the premises.

4. Factors to consider when excluding a student

- 4.1. When considering the exclusion of a student, the principal will:

- Allow the student the opportunity to present their case
 - Take into account any contributing factors that are identified after a case of poor behaviour has occurred, e.g. if the student's wellbeing has been compromised, or they have been subjected to bullying
 - Take into consideration whether the student has received multiple exclusions or is approaching the legal limit of 45 excluded days per college year, and whether exclusion is serving as an effective sanction
 - Consider early intervention to address underlying causes of disruptive behaviour, including liaising with external agencies, to assess students who demonstrate consistently poor behaviour
- 4.2. The principal will consider what extra support may be available for vulnerable student groups whose exclusion rates are higher, in order to reduce their risk of exclusion, including the following:
- LAC
 - Students eligible for free college meals
 - Students with special educational needs and disabilities (SEND)
 - Certain ethnic groups
- 4.3. In light of the above, the principal will consider avoiding permanently excluding LAC students or students with an education, health and care (EHC) plan. For other vulnerable groups, additional support will be considered.
- 4.4. Where any member of staff has concerns about vulnerable student groups and their behaviour, they will report this to the principal who will consider what extra support or alternative placement is required.
- 4.5. The principal will work in conjunction with the parents of any student with additional needs, in order to establish the most effective support mechanisms.

5. Duty to inform parents

- 5.1. Following the principal's decision to exclude a student, they will immediately inform, in person or by telephone, the parents of the period of the exclusion and the reasons behind this.
- 5.2. The principal will inform the parents in writing (electronically if written permission has been received from the parents for notices to be sent this way) of the following:
- The reason(s) for the exclusion
 - The length of the fixed-period exclusion or, for a permanent exclusion, the fact that it is permanent
 - Their right to raise any representations about the exclusion to the governing board, including how the student will be involved in this and how the representations will be made
 - Their right to attend a meeting where there is a legal requirement for the governing board to consider the exclusion, and the fact that they are able to bring an accompanying individual
 - The arrangements that have been made for the student to continue their education prior to the organisation of any alternative provision, or the student's return to college

- Relevant sources of free, impartial information
- 5.3. Where the student is of compulsory college age, the principal will inform the parents by the end of the afternoon session that:
- For the first five days of the exclusion (or until the start date of any alternative provision or the end of the exclusion where this is earlier), parents are legally required to ensure that their child is not present in a public place during college hours without justification, and that parents may receive a penalty fine if they fail to do so
- 5.4. Where the principal has arranged alternative provision, they will also inform the parents of the following:
- The start and end date for any provision of full-time education
 - The address at which the provision will take place
 - Any information necessary for the student to identify the person they should report to on the starting date
- 5.5. Where the principal is unable to provide information on alternative provision by the end of the afternoon session, they will provide the information in a subsequent written notice without further delay, and within 48 hours of the student beginning the provision.
- 5.6. If the alternative provision is due to begin before the sixth day of exclusion, the principal is able to give less than 48 hours of notice, with parental consent.
- 5.7. If the principal has decided to exclude the student for a further fixed period following their original exclusion, or to permanently exclude them, they will notify the parents without delay and issue a new exclusion notice to parents.

6. Duty to inform the governing board and LA

- 6.1. The principal will inform the governing board and LA, without delay, of the following:
- Any permanent exclusions (including where a fixed-period exclusion is followed by a decision to permanently exclude the student)
 - Any exclusions which would result in the student being excluded for more than five college days in a term (or more than 10 lunchtimes)
 - Any exclusions which would result in the student being absent from an examination or national curriculum test
- 6.2. For any exclusions, other than those above, the principal will notify the governing board and LA once per term.
- 6.3. All notifications to the governing board and LA will include the reasons for exclusion and the duration of any fixed-period exclusion.
- 6.4. If the student who is excluded lives outside the LA in which the college is located, the principal will notify the student's 'home authority'.

7. Arranging education for excluded students

- 7.1. For any fixed-period exclusions of more than five college days, the governing board will arrange suitable full-time education for the student, which will begin no later than the sixth day of exclusion.
- 7.2. Where a student receives consecutive fixed-period exclusions, these will be regarded as cumulative, and full-time education will still have to be provided from the sixth day of exclusion.
- 7.3. For permanent exclusions, full-time education will also be provided for the student from the sixth day of exclusion.
- 7.4. The governing board will not arrange full-time education for any student who is currently in their final year of compulsory education, and who does not have any further public examinations to sit.
- 7.5. The governing board is aware that it is beneficial to excluded students to begin their alternative education arrangements before the sixth day of exclusion. The governing board will always attempt to arrange alternative provision before the sixth day of exclusion.
- 7.6. Where it is not possible to arrange alternative provision during the first five days of exclusion, the college will ensure that they take reasonable steps to set and mark work for the excluded student.
- 7.7. If a student with SEND has been excluded, the governing board will ensure that:
 - Any alternative provision is arranged in consultation with the student's parents, who are able to request preferences
 - When identifying alternative provision, any EHC plan is reviewed/the student's needs are reassessed, also in consultation with the student's parents

8. Considering exclusions

- 8.1. The governing board will consider any representations made by parents in regard to exclusion.
- 8.2. Parents and, where requested, a friend or representative, the principal and a member of the LA will be invited to attend any consideration of exclusions and will be able to make representations.
- 8.3. Any meeting to consider reinstatement of a student will be arranged at a date and time convenient for all parties, and in compliance with any statutory time limits.
- 8.4. The governing board will consider the reinstatement of an excluded student, where:
 - The exclusion is permanent
 - The exclusion is fixed-period, and would bring the student's total number of excluded college days to more than 15 in any given term
 - The exclusion would result in the student missing a public examination

- 8.5. In the case of a fixed-period exclusion where the student's total number of excluded days is more than five but less than 15 college days within a term, if requested by the parents, the governing board will consider exclusions within 50 college days of receiving notification.
- 8.6. In the case of a fixed period exclusion, where the student's total number of excluded college days does not amount to more than five, in the absence of any such representations, the governing board is not required to meet and cannot direct the reinstatement of the student.
- 8.7. Where exclusion would result in a student missing a public examination, the governing board will consider the exclusion before the test to decide whether the student should be reinstated in time to take the examination.
- 8.8. If it is not practicable for a sufficient number of governors to consider the decision before the examination, a smaller sub-committee will consider the exclusion and decide whether or not to reinstate the student.
- 8.9. In light of the above, the governing board will also consider whether it would be appropriate to allow the excluded student to enter the premises to take the examination.
- 8.10. When considering the reinstatement of an excluded student, the governing board will:
 - Only discuss the exclusion with the parties present at the meeting
 - Ask for any written evidence prior to the meeting
 - Circulate any written evidence and information to all parties, at least five college days in advance of the meeting
 - Allow students and parents to be accompanied by a person of their choice at the meeting
 - Consider what reasonable adjustments need to be made to support the attendance and contribution of parties at the meeting
 - Identify the steps needed to enable and encourage the excluded student to attend the meeting and speak on their behalf, or how they may contribute personal views by other means if attendance is not possible
 - Consider the interests and circumstances of the excluded student, including the grounds for exclusion

9. Reaching a decision

- 9.1. After considering exclusions, the governing board will either:
 - Decline to reinstate the student
 - Direct the reinstatement of the student immediately, or on a specified date
- 9.2. If reinstatement would make no practical difference, e.g. if the student has already returned to college following a fixed-period exclusion or the parents make clear they do not want their child reinstated, the governing board will still consider whether the student should be officially reinstated, and whether the principal's decision to exclude the student was fair, lawful and proportionate, based on the evidence presented.

- 9.3. The governing board will apply the civil standard of proof when responding to the facts relating to an exclusion, i.e. that 'on the balance of probabilities' it is more likely than not that the facts are true.
- 9.4. In order to reach a decision, the governing board will:
- Identify the steps they intend to take to ensure that all parties involved will have the opportunity to participate and present their views
 - Ensure that minutes are taken of the meeting as a record of the evidence that was considered
 - Ask all parties to withdraw from the meeting before concluding their decision
 - Consider whether the exclusion of the student was lawful, proportionate and fair, taking into account the principal's legal duties and any evidence that was presented to the governing board in relation to the decision to exclude
 - Record the outcome of the decision on the student's educational records, along with copies, which will be kept for at least six months
 - Make a note of their findings, where they have considered an exclusion but cannot reinstate the student

10. Notification of considered exclusions

- 10.1. The governing board will notify the parents of the excluded student, the principal and the LA of their decision following the consideration of an exclusion, in writing and without delay.
- 10.2. In the case of a permanent exclusion, where the governing board decides not to reinstate the student, they will notify the parents:
- That it is permanent, and their right for it to be reviewed by an independent review panel
 - Of the date by which an application for review must be made
 - Of the name and address of whom the review application should be submitted to
 - That any application should set out the grounds on which it is being made and that, where appropriate, this should include reference to how a student's SEND are considered relevant to the exclusion
 - That, regardless of whether a student has been identified as having SEND, the parents have a right to require the governing board to ensure a SEND expert attends the review
 - Of the role of the SEND expert that will attend the review, and that the parents will not be charged for this
 - That they are required to make it clear if they wish for a SEND expert to attend the review
 - That they may appoint someone at their own expense to make representations to the panel
- 10.3. The governing board will also notify parents that, if they believe an exclusion has been issued as a result of discrimination, then they are required to make a claim under the Equality Act 2010 to the First-tier Tribunal (SEND), and that this should be within six months of when the discrimination allegedly took place.

- 10.4. After any conclusion, the governing board will notify the parents, and all other parties involved, of the decision that was made and the reasoning for this, in sufficient detail.

11. Removing permanently excluded students from the college register

- 11.1. The principal will remove students from the college register if:
- 15 college days have passed since the parents were notified of the governing board's decision not to reinstate the student and no application for an independent panel review has been received
 - The parents have stated in writing that they will not be applying for an independent panel review following a permanent exclusion
- 11.2. If an application for an independent panel review has been made within 15 college days, the principal will wait until the review has been determined, or abandoned, and until the governing board has completed any reconsideration that the panel recommended or directed it to carry out, before removing the student from the college register.
- 11.3. If a student's name is to be removed from the register, the principal will make a return to the LA, which will include:
- All the particulars which were entered in the register
 - The address of any parent with whom the student normally resides
 - The grounds upon which the student's name is to be removed from the register
- 11.4. Any return to the LA will be made as soon as the grounds for removal are met and no later than the date in which the student's name was removed.
- 11.5. If a student's name has been removed from the register and a discrimination claim is made, the student may be reinstated following a decision made by the First-tier Tribunal (SEND) or County Court.
- 11.6. Whilst a student's name remains on the admissions register, the appropriate code will be used to mark the student's attendance:
- Code B: Education off-site
 - Code D: Dual registration
 - Code E: Absent and not attending alternative provision

12. Independent review panel

- 12.1. The LA will review the governing board's decision not to reinstate a permanently excluded student, if the parents submit their application for this within the required time frame.
- 12.2. Parents are required to submit their applications within:
- 15 college days of the governing board's notification of their decision
 - 15 college days of the final determination of a discriminatory claim made under the Equality Act 2010

- 12.3. Any application made outside of this timeframe will not be reviewed.
- 12.4. Parents are able to request an independent panel review even if they did not make a case to, or attend, the governing board's initial consideration of the exclusion.
- 12.5. The LA will adhere to all statutory guidelines when conducting an independent panel review, as outlined in the DfE's statutory guidance document 'Exclusion from maintained colleges, academies and student referral units in England' 2017.

13. Appointing a SEND expert

- 13.1. If requested by parents in their application for an independent review panel, the LA will appoint a SEND expert to attend the panel and cover the associated costs of this appointment.
- 13.2. The LA will make arrangements to indemnify the SEND expert against any legal costs and expenses reasonably incurred as a result of any decisions or actions connected to the review and which are taken in good faith.
- 13.3. Parents have a right to request the attendance of a SEND expert at a review, regardless of whether the college recognises that their child has SEND.
- 13.4. The SEND expert's role is set out in [section 14](#) of this policy.
- 13.5. Individuals will not serve as a SEND expert if they have, or at any time have had, any connection with the LA, college, parents or student, or the incident leading to the exclusion, which might reasonably be taken to raise doubts about their ability to act impartially; however, an individual is not taken to have such a connection solely because they are an employee of the LA.
- 13.6. The SEND expert will be a professional with first-hand experience of the assessment and support of SEND, as well as an understanding of the legal requirements on colleges in relation to SEND. Examples of suitable individuals might include educational psychologists; specialist SEND teachers; special educational needs coordinators (SENCOs); and behaviour support teachers.
- 13.7. Recently retired individuals are not precluded from fulfilling this role; however, the LA will, during interview, assess the knowledge of such individuals in order to ensure that they have a good understanding of current practice and the legal requirements on colleges in relation to SEND.
- 13.8. Whilst individuals are not automatically taken to be partial simply because they are an employee of, or contracted by, the LA, they will not have had any previous involvement in the assessment or support of SEND for the excluded student, or siblings of the excluded student. The LA will request that prospective SEND experts declare any conflict of interest at the earliest opportunity.
- 13.9. The final decision on the appointment of a SEND expert is for the LA to make, but it will take reasonable steps to ensure that parents have confidence in the impartiality and capability of the SEND expert. Where possible, this will include offering parents a choice of SEND expert. In order to meet its duties within the statutory time frame, the

LA will consider maintaining a list of individuals capable of performing the role of SEND expert in advance of a request.

- 13.10. The LA will determine the amount of any payment in relation to the appointment of the SEND expert, such as financial loss, travel and subsistence allowances.

14. The role of a SEND expert

- 14.1. The SEND expert's role is analogous to an expert witness, providing (orally, in writing or both) impartial advice to the panel on how SEND might be relevant to the exclusion. The SEND expert will base their advice on the evidence provided to the panel. The SEND expert's role does not include making an assessment of the student's SEND.
- 14.2. The focus of the SEND expert's advice will be on whether the college's policies which relate to SEND, or the application of these policies in relation to the excluded student, were legal, reasonable and procedurally fair. If the SEND expert believes that this was not the case, they will, where possible, advise the panel on the possible contribution that this could have made to the circumstances of the student's exclusion.
- 14.3. Where the college does not recognise that a student has SEND, the SEND expert will advise the panel on whether they believe the college acted in a legal, reasonable and procedurally fair way with respect to the identification of any SEND that the student may potentially have, and any contribution that this could have made to the circumstances of the student's exclusion.
- 14.4. The SEND expert will not criticise a college's policies or actions simply because they believe a different approach should have been followed or because another college might have taken a different approach.

15. Appointing a clerk

- 15.1. The LA will decide whether to appoint a clerk to the independent review panel, or to make alternative arrangements to administer the panel.
- 15.2. Where a clerk is appointed the LA will ensure that the clerk did not serve as clerk to the governing board when the decision was made not to reinstate the student.

16. The role of a clerk

- 16.1. The clerk's role is to provide advice to the panel and parties to the review on procedure, law and statutory guidance on exclusions.
- 16.2. The clerk will:
- Identify, in advance of the meeting, whether the excluded student wishes to attend the panel hearing, taking reasonable steps to enable the student to feedback their views, irrespective of their attendance
 - Identify, in advance of the meeting, whether any alleged victims of the incident(s) leading up to the exclusion wish to attend the panel hearing, taking reasonable steps to enable them to feedback their views, irrespective of their attendance

- Ensure that the panel is able to hear from any witnesses to the incident(s) leading to the exclusion, taking into account the fact that some of these people may be students at the college (Students under 18-years-old will not be allowed to appear in person without parental consent)
- Inform the parents, principal and governing board, that they are entitled to: make oral and written representations to the panel; attend the hearing; and be represented
- Ensure that all parties are:
 - Provided with copies of relevant papers at least five college days before the review, notifying the panel if any requested documents have not been provided in case the panel wishes to adjourn until a later date
 - Informed about who is attending the meeting, and what their roles are
- Attend the review and ensure that minutes are produced in accordance with instructions from the independent review panel.

16.3. Where a clerk is not appointed, the LA will undertake the functions outlined in paragraphs 16.1 and 16.2 of this policy.

17. The duties of independent review panel members in the conduct of a review panel

17.1. The role of the panel is to review the governing board's decision not to reinstate a permanently excluded student. In reviewing the decision, the panel will consider the interests and circumstances of the excluded student, including the circumstances in which the student was excluded, and have regard to the interests of other students and people working at the college.

17.2. The panel will apply the civil standard of proof, (i.e. 'on the balance of probabilities' it is more likely than not that a fact is true) rather than the criminal standard of 'beyond reasonable doubt'.

17.3. Following the review, the panel will do one of the following:

- Uphold the decision
- Recommend that the governing board reconsiders reinstatement
- Quash the decision and direct that the governing board reconsiders reinstatement

17.4. The panel's decision does not have to be unanimous and can be decided by majority vote. It is binding on the student, parents, the governing board, principal and the LA.

18. Reconsidering reinstatement following a review

18.1. Where the independent review panel instructs the governing board to reconsider their decision not to reinstate a student, they will do so within 10 college days of being given notice of the review panel's decision.

18.2. The college is aware that if the governing board does not offer to reinstate the student, then the college will be required to make a payment of £4,000 directly to the LA in which the college is located.

- 18.3. If, following reconsideration, the governing board offers to reinstate the student but the parents decline, no adjustment will be made to the college's budget.
- 18.4. Following reconsideration, the governing board will notify the parents, the principal and the LA of their reconsidered decision and the reasons for this.

19. Criminal investigations

- 19.1. The principal will not postpone taking a decision to exclude a student due to a police investigation being underway, or any criminal proceedings that are in place.
- 19.2. The principal will give particular consideration when deciding to exclude a student where evidence is limited by a police investigation, to ensure that any decision made is fair and reasonable.
- 19.3. If the governing board is required to consider the principal's decision in these circumstances, they will not postpone the meeting and will make a decision based on the evidence available.

20. Training requirements

- 20.1. The LA will ensure that all independent review panel members and clerks have received training within the two years prior to the date of the review.
- 20.2. Training will cover:
 - The requirements of the legislation, regulations and statutory guidance governing exclusions
 - The need for the panel to observe procedural fairness and the rules of natural justice
 - The role of the chair of a review panel
 - The role of the clerk to a review panel
 - The duties of principals, governing boards and the panel under the Equality Act 2010
 - The effect of section 6 of the Human Rights Act 1998 and the need to act in a manner compatible with human rights protected by that Act
- 20.3. Clerks will also have an up-to-date understanding on developments in case law which are relevant to exclusion.

21. Monitoring and review

- 21.1. This policy will be reviewed on an annual basis by the principal in conjunction with the governing board.
- 21.2. All members of staff are required to familiarise themselves with this policy as part of their induction programme.

Reviewing the Principal's Exclusion Decision

