



## Exclusion and Appeals Policy

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## 1. Introduction

1.1 The document from the Department for Education (DfE), 'Exclusions from maintained schools, Academies and student referral units in England' provides a guide to the legislation that governs the exclusion of students from maintained schools, Academy schools, Free Schools, Alternative Provision Academies/ Free Schools and student referral units in England from 1 September 2012.

1.2 It also provides statutory guidance to which Principals, governing bodies, Local Authorities, Academy/Free School Trusts, independent review panel members, independent review panel clerks and special educational needs experts must have regard when carrying out their functions in relation to exclusions.

1.3 The exclusion regulations give clarity and certainty to schools, local authorities, Academy/Free School Trusts and review panels, in terms of how they discharge their obligations to parents. Obligations are to the "relevant person" – a parent or the student, who is 18 or over. This guidance refers to "parents" throughout and where practicable it is expected that all those with parental responsibility should be engaged with the exclusions process.

1.4 The legislation to which this policy relates is:

- The Education Act 2002, as amended by the Education Act 2011
- The School Discipline (Student Exclusions and Reviews) (England) Regulations 2012
- The Education and Inspections Act 2006
- The Education (Provision of Full-Time Education for Excluded Students) (England) Regulations 2007.

1.5 A Guide to the Law regarding exclusions and appeals is attached as Appendix 1.

## 2. Definition of a Parent

2.1 The definition of a parent for the purposes of this policy includes any person who has parental responsibility (which includes the Local Authority where it has a care order in respect of the child) and any person (for example, a foster carer) with whom the child lives.

## 3. Key Points in this Policy

3.1 Good discipline in academies is essential to ensure that all students can benefit from the opportunities provided by education. The Government supports Principals in using exclusion as a sanction where it is warranted. However, Stone Soup Academy believes permanent exclusion should only be used as a last resort, in response to serious or persistent breaches of the academy's behaviour policy, and where allowing the student to remain in the academy would seriously harm the education or welfare of the student or others in the academy.

3.2 At Stone Soup Academy we have 6 Key Principles of:

- High Expectations
- Respect
- Individual Learning
- A different approach

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- Preparation for independent living
- Personal development

3.3 As such, we also measure our contribution via the following outcomes for our students:

- Improved sense of direction, self-esteem and confidence
- Better attendance once at Stone Soup
- Reductions in disruptive behaviour, exclusions and referrals
- Better academic attainment and more students achieving awards for their performance
- Positive progression routes and reduction of those not in employment, education and training (NEET)
- Improved relationship development and sustainability (with family, school and peers)

3.4 At Stone Soup Academy we also have a clear and innovative behaviour system and associated policy. ***This policy should be read alongside our Behaviour Policy.***

3.5 The academy’s decision to exclude a student will be lawful, reasonable and fair. Academies have a statutory duty not to discriminate against students on the basis of certain characteristics, such as disability or race. Stone Soup Academy will give particular consideration to the fair treatment of students from groups who are vulnerable to exclusion.

3.6 Disruptive behaviour can be an indication of unmet needs. Where the academy has concerns about a student’s behaviour, we will try to identify whether there are any causal factors and intervene early in order to reduce the need for a subsequent exclusion. In this situation we will give consideration to a multi-agency assessment that goes beyond the student’s educational needs.

3.7 Stone Soup Academy will have a strategy for reintegrating students that return to the academy following a fixed period exclusion, and for managing their future behaviour.

3.8 All children have a right to an education and the school will take reasonable steps to set and mark work for students during the first five school days of exclusion, and alternative provision will be arranged from the sixth day.

3.9 Where parents (or the excluded student, if aged 18 or over) dispute the decision of the Governing Body not to reinstate a permanently excluded student, they can ask for this decision to be reviewed by an independent review panel.

3.10 Where there is an allegation of discrimination (under the Equality Act 2010) in relation to a fixed-period or permanent exclusion, parents can also make a claim to the First-tier Tribunal (for disability discrimination) or a County Court (for other forms of discrimination).

3.11 An independent review panel ***does not have the power*** to direct the Governing Body to reinstate an excluded student. However, where a panel decides that a Governing Body’s decision is flawed when considered in the light of the principles applicable on an application for judicial review, it can direct the Governing Body to reconsider its decision.

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3.12 In line with the DfE guidance, whether or not Stone Soup Academy has decided that a student has special educational needs (SEN), all parents (or students if aged 18 or over) have the right to request the presence of a SEN expert at an independent review panel. The SEN expert's role is to provide impartial advice to the panel about how SEN could be relevant to the exclusion; for example, whether the academy has acted reasonably in relation to its legal duties when excluding the student.

3.13 Excluded students will be enabled and encouraged to participate at all stages of the exclusion process, taking into account their age and understanding.

**4. What the Principal will consider before a decision to exclude is made**

4.1 A decision to exclude a student permanently will only be taken

- In response to serious or persistent breaches of Stone Soup Academy's behaviour policy
- Where allowing the student to remain in school would seriously harm the education or welfare of the student or others in the academy.

4.2 The decision on whether to exclude is for the Principal to take. However, where practical, the Principal will give students an opportunity to present their case before taking the decision to exclude.

4.3 Whilst exclusion may still be an appropriate sanction, the Principal will take account of any contributing factors that are identified after an incident of poor behaviour has occurred – for example, where it comes to light that a student has suffered bereavement, has mental health issues or has been subject to bullying.

4.4 Early intervention to address underlying causes of disruptive behaviour will include an assessment of whether appropriate provision is in place to support any SEN or disability.

**5. Exclusion of students from groups with disproportionately high rates of exclusion**

5.1 The DfE guidance points out that exclusion rates for certain groups of students are consistently higher than average. This includes:

- Students with SEND
- Students eligible for Free School Meals
- Looked after children
- Students from certain ethnic groups.

The ethnic groups with the highest rates of exclusion are Gypsy/Roma, Travellers of Irish Heritage, and Black Caribbean communities.

6.2 In addition to the approaches on early intervention set out above, the Principal will consider what extra support might be needed to identify and address the needs of students from these groups in order to reduce their risk of exclusion. For example, we might draw on the support of Traveller Education Services, or other professionals, to help build trust when engaging with families from Traveller communities.

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## 6. Exclusion of students with EHC Plans and Looked After Children (LACs)

6.1 As well as having disproportionately high rates of exclusion, we know there are certain groups of students with additional needs who are particularly vulnerable to the impacts of exclusion. This includes students with an EHCP and looked after children. The Principal will, as far as possible, avoid excluding permanently any student with an EHC Plan or a looked after child.

6.2 Stone Soup Academy will engage proactively with parents in supporting the behaviour of students with additional needs. In relation to Looked After Children (LACs), schools should co-operate proactively with foster carers or children's home workers and the local authority that looks after the child. (***See the school LAC Policy for further details***)

6.3 Where the academy has concerns about the behaviour, or risk of exclusion, of a child with additional needs, a student with an EHCP or a looked after child, we will, in partnership with others, (including the Local Authority as necessary) consider what additional support or alternative placement may be required. This will involve assessing the suitability of provision for a student's SEND.

6.4 Where a student has an EHCP, the SENCO will be involved to consider requesting an early annual review or interim / emergency review.

## 7. Informing parents about exclusion

7.1 Whenever the Principal excludes a student they will, without delay, notify parents of the period of the exclusion and the reasons for it.

7.2 They will also, without delay, provide parents with the following information in writing:

- The reasons for the exclusion
- The period of a fixed period exclusion or, for a permanent exclusion, the fact that it is permanent
- The parents' right to make representations about the exclusion to the governing body and how the student may be involved in this
- How any representations should be made
- Where there is a legal requirement for the Governing Body to consider the exclusion, that parents have a right to attend a meeting, be represented at this meeting (at their own expense) and to bring a friend.

7.3 This information will be either delivering it directly to the parents or by posting it to their last known address.

7.4 Where an excluded student is of compulsory school age the Principal will also notify parents by the end of the afternoon session that for the first five working days of exclusion (or until the start date of any alternative provision where this is earlier) parents are legally required to ensure that their child is not present in a public place during school hours without reasonable justification, and that parents may be given a fixed penalty notice or prosecuted if they fail to do so.

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7.5 If alternative provision is being arranged then the following information will be included with this notice where it can reasonably be found out within the timescale:

- The start date for any provision of full-time education that has been arranged for the student during the exclusion
- The start and finish times of any such provision, including the times for morning and afternoon sessions where relevant
- The address at which the provision will take place
- Any information required by the student to identify the person he / she should report to on the first day.

7.6 Where this information on alternative provision is not available by the end of the afternoon session it may be provided in a subsequent notice, but it will be provided without delay and no later than 48 hours before the provision is due to start.

7.7 Parents will also be informed where a fixed period exclusion has been extended or converted to a permanent exclusion. In such cases the Principal will write again to the parents explaining the reasons for the change and providing any additional information required.

7.8 When informing parents about exclusion the Principal will also set out what arrangements have been made to enable the student to continue his/her education prior to the start of any alternative provision or the student's return to the academy, in line with the guidance above.

7.9 The Principal will ensure that information provided to parents is clear and easily understood. Where the parents' first language is not English, consideration will be given, where practical, to translating the letter or taking additional steps to ensure that the details of the exclusion and their right to make representations to the Governing Body have been understood.

## **8. Informing the Governing Body and the Local Authority**

8.1 The Principal will notify the Governing Body and the Local Authority of

- A permanent exclusion (including where a fixed period exclusion is made permanent)
- Exclusions which would result in the student being excluded for more than five working days (or more than ten lunchtimes) in a term
- Exclusions that would result in the student missing a public examination or national curriculum test.
- The Principal will notify the LA of a permanent exclusion

8.2 The notification will include the reasons for the exclusion and the duration of any fixed period exclusion.

8.3 If a student lives outside the Local Authority the Principal will also advise the student's 'home authority' of the exclusion without delay.

## **9. Arranging education for excluded students**

9.1 For a fixed period exclusion of more than five working days, the Governing Body will arrange

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suitable full time education for any student of compulsory school age. This provision will begin no later than the sixth day of the exclusion.

9.2 For permanent exclusions, the Local Authority must arrange suitable full-time education for the student to begin no later than the sixth day of the exclusion. This will be the student's 'home authority' in any cases where the student's home is in a different Local Authority.

9.3 Provision does not have to be arranged by either the academy or Local Authority for Stone Soup Academy students in the final year of compulsory education who do not have any further public examinations to sit.

9.4 Although the duty is to provide full-time education from the sixth day of exclusion, there is an obvious benefit in starting this provision as soon as possible. In particular, in the case of a Looked After Child (LAC), the school and the Local Authority will work together to arrange alternative provision from the first day following the exclusion.

9.5 Where it is not possible, or appropriate, to arrange alternative provision during the first five working days of exclusion, the academy will take reasonable steps to set and mark work for students which will be accessible to and achievable by students outside of the academy.

## **10. The Governing Body and Exclusions**

10.1 Stone Soup Academy's Governing Body has a duty to consider parents' representations about exclusion. ***The requirements on the Governing Body to consider exclusion depend upon a number of factors explained in more detail in Appendix 2.***

10.2 The Governing Body may delegate their functions with respect to the consideration of exclusion decision to a designated sub-committee consisting of at least three Governors.

## **11. Excluded students and the academy register**

11.1 The Principal will remove a student's name from the school admissions register if

- 15 working days have passed since the parents were notified of the Governing Body's decision to uphold a permanent exclusion and no application has been made for an independent review panel
- The parents have stated in writing that they will not be applying for an independent review panel.

11.2 Where an application for an independent review panel has been made within 15 working days, the Principal will wait until the review has been determined, or abandoned, before removing a student's name from the register.

11.3 Where a student's name is removed from the academy register and a discrimination claim is subsequently made, the First-tier Tribunal or County Court has the power to direct that the student should be reinstated.

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11.4 While the excluded student's name remains on Stone Soup Academy's admissions register the student will be marked using the appropriate attendance code.

11.5 Where alternative provision has been made that meets the requirements of the student registration regulations, and the student attends it, an appropriate attendance code, such as Code B (Education Off-site) or Code D (Dual Registration), will be used. Where students are not attending alternative provision, they will be marked absent using Code E.

## **12. Stone Soup Academy's duty to arrange an independent review panel**

12.1 If applied for by parents within the legal time frame the Trust will arrange for an independent review panel hearing to review the decision of the Governing Body not to reinstate a permanently excluded student.

12.2 The legal time frame for an application is:

- Within 15 working days of notice being given to the parents by the Governing Body of their decision to uphold a permanent exclusion
- Where an application has not been made within this time frame, within 15 working days of the final determination of a claim of discrimination under the Equality Act 2010 in relation to the exclusion.

12.3 Any application made outside of the legal time frame will be rejected by the Trust.

12.4 The Trust will not delay or postpone arranging an independent review panel where parents also make a claim of discrimination in relation to the exclusion to the First-tier Tribunal (Special Educational Needs and Disability) or the County Court.

12.5 Parents may request an independent review panel even if they did not make a case to, or attend the meeting at which the governing body considered the exclusion.

12.6 The Trust will take reasonable steps to identify a date for the review that all parties are able to attend. However, the review will begin within 15 working days of the day on which the Trust received the parent's application for a review (panels have the power to adjourn a hearing if required).

12.7 The Trust will arrange a venue for hearing the review, which will be in private unless the panel directs otherwise.

12.8 Where the issues raised by two or more applications for review are the same, or connected, the panel may combine the reviews if, after consultation with all parties, there are no objections.

12.9 Statutory guidance to school Trusts on arranging a date and venue for a review are attached to this policy as **Appendix 3** and further information about their duties is attached as **Appendix 5**.

## **13. The Role of the Panel**

13.1 The role of the panel is to review the governing body's decision not to reinstate a permanently

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excluded student. In reviewing the decision, the panel must 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 academy.

13.2 The panel must 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'.

13.3 Following its review the panel can decide to:

- Uphold the exclusion decision
- Recommend that the governing body reconsiders their decision
- Quash the decision and direct that the Governing Body considers the exclusion again.

13.4 The panel's decision does not have to be unanimous and can be decided by a majority vote. In the case of a tied decision the chair has the casting vote.

13.5 The independent review panel's decision is binding on the student, parents, Governing Body, Principal and Stone Soup Academy Trust.

13.6 The panel may **only** quash the decision where it considers that it was flawed when considered in the light of the principles applicable on an application for judicial review.

13.7 New evidence may be presented to the panel, though the school may not introduce new reasons for the exclusion and panels must disregard any new reasons that are introduced.

13.8 In deciding whether the Governing Body's decision was flawed, and therefore whether to quash the decision, the panel must only take account of the evidence that was available to the Governing Body at the time of making their decision. This includes any evidence that the panel considers would, or should, have been available to the Governing Body if they had been acting reasonably.

13.9 If evidence is presented that the panel considers is unreasonable to have expected the Governing Body to have been aware of at the time of their decision, the panel can take account of the evidence when deciding whether to recommend that the Governing Body reconsider their decision.

13.10 Where present, the panel will seek and have regard to the SEN expert's view of how SEN might be relevant to the student's exclusion. Where a SEN expert has been requested but is not present, the panel should make parents aware of their right to request that the review is adjourned until such time as a SEN expert can attend.

13.11 If the panel upholds the permanent exclusion, the appointed clerk will immediately report this to the Local Authority. If the student lives outside the Local Authority, the clerk will make sure that the 'home authority' is also informed in writing without delay of the outcome of the review. This includes any situation where parents withdraw or abandon their application for a review

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13.12 Where the panel directs or recommends that the Governing Body reconsiders their decision, the Governing Body will reconvene to do so within 10 working days of being given notice of the panel's decision. Notice is deemed to have been given on the same day if it is delivered directly or on the second working day after posting if it is sent by first class mail.

13.13 If, following a direction to reconsider, the Governing Body does not offer to reinstate the student within 10 working days of being notified of the panel's decision, Stone Soup Academy will be required to make a payment of £4,000 to the Local Authority. This payment will be in addition to any funding that would normally follow an excluded student.

13.14 If the Governing Body offers to reinstate the student within the specified timescale but this is declined by the parents, this payment will not be made. The Governing Body will comply with any direction of the panel to place a note on the student's educational record. This includes noting that, where a student is not reinstated following a direction to reconsider, the exclusion does not count towards the rule that an admission authority may refuse to admit a child who has been excluded twice.

13.15 In the case of either a recommended or directed reconsideration, the Governing Body will notify the following people of their reconsidered decision, and the reasons for it, in writing and without delay:

- The parents
- The Principal
- The Local Authority and, where relevant, the 'home authority'.

#### **14. Appointing a SEN expert**

14.1 If requested by parents in their application for an independent review panel, Stone Soup Academy Trust will appoint a SEN expert to attend the panel and cover the associated costs of this appointment.

14.2 The Trust will make arrangements to indemnify the SEN 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.

14.3 Parents have a right to request the attendance of a SEN expert at a review, regardless of whether the school recognises that their child has SEN.

14.4 Individuals may not serve as a SEN expert if they have, or at any time have had, any connection with the Trust, school, 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 he/she is an employee of the Trust.

#### **15. Police involvement and parallel criminal proceedings**

15.1 The Principal will not postpone taking a decision on exclusion solely because a police investigation is underway and/or any criminal proceedings may be brought. In such circumstances,

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the Principal will take a decision on the evidence available to them at the time.

15.2 Where the evidence is limited by a police investigation or criminal proceedings, the Principal will give particular consideration to ensuring that the decision to exclude is fair. However, the final decision on whether to exclude is for the Principal to make.

15.3 Where the Governing Body is required to consider a Principal's decision in these circumstances, they cannot postpone their meeting and must decide whether or not to reinstate the student on the evidence available.

15.4 The fact that parallel criminal proceedings are in progress will also not directly determine whether an independent review panel will be adjourned. Relevant factors for the panel to consider will include:

- Whether any charge has been brought against the student and, if so, what the charge is
- Whether relevant witnesses and documents are available
- The likelihood of delay if the hearing were adjourned and the effect it may have on the excluded student, the parents, any victim or the school
- Whether an adjournment or declining to adjourn, might result in injustice.

15.5 Where a panel decides to adjourn, the Trust will be responsible for monitoring the progress of any police investigation and/or criminal proceedings, as well as for reconvening the panel at the earliest opportunity. If necessary, the panel may adjourn more than once.

## **16. Monitoring and Review**

16.1 The Principal and Governing Body will review this policy at least annually and more often when legislation and guidance changes.

16.2 Its implementation and effectiveness will be monitored by the Principal and the Governing Body.

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## APPENDIX 1: A guide to the law from the DfE

1. Only the Principal of a school can exclude a student and this must be on disciplinary grounds. A student may be excluded for one or more fixed periods (up to a maximum of 45 school days in a single academic year), or permanently. A fixed period exclusion does not have to be for a continuous period. In exceptional cases, usually where further evidence has come to light, a fixed period exclusion may be extended or converted to a permanent exclusion.

2. Students whose behaviour at lunchtime is disruptive may be excluded from the school premises for the duration of the lunchtime period. In such cases the legal requirements in relation to exclusion, such as the Principal's duty to notify parents, still apply. Lunchtime exclusions are counted as half a school day for statistical purposes and in determining whether a governing body meeting is triggered.

3. The behaviour of students outside school can be considered as grounds for exclusion. This will be a matter of judgement for the Principal in accordance with the school's published behaviour policy.

4. The Principal may withdraw exclusion that has not been reviewed by the governing body.

5. Any decision of a school, including exclusion, must be made in line with the principles of administrative law i.e. that it is: lawful (with respect to the legislation relating directly to exclusions and a school's wider legal duties, including the European Convention of Human Rights), rational, reasonable, fair and proportionate.

6. Principals must take account of their legal duty of care when sending a student home following exclusion.

7. When establishing the facts in relation to exclusion decision the Principal must 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'.

8. Under the Equality Act 2010 ("the Equality Act") schools must not discriminate against, harass or victimise students because of their sex, race, disability, religion or belief, sexual orientation, because of a pregnancy/maternity or because of a gender reassignment. For disabled children, this includes a duty to make reasonable adjustments to policies and practices.

9. In carrying out their functions under the Equality Act, the public sector equality duty means schools must also have due regard to the need to:

- Eliminate discrimination and other conduct that is prohibited by the Equality Act
- Advance equality of opportunity between people who share a protected characteristic and people who do not share it
- Foster good relations across all characteristics – between people who share a protected characteristic and people who do not share it.

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10. These duties need to be taken into account when deciding whether to exclude a student.

11. Schools must also ensure that their policies and practices do not discriminate against students by unfairly increasing their risk of exclusion. Provisions within the Equality Act allow schools to take positive action to deal with particular disadvantages affecting one group, where this can be shown to be a proportionate way of dealing with such issues

12. Principals and governing bodies must take account of their statutory duties in relation to special educational needs (SEN) when administering the exclusion process. This includes having regard to the SEN Code of Practice.

13. It is unlawful to exclude or to increase the severity of exclusion for a non-disciplinary reason. For example, it would be unlawful to exclude a student simply because they have additional needs or a disability that the school feels it is unable to meet, or for a reason such as academic attainment/ability, the action of a student's parents, or the failure of a student to meet specific conditions before they are reinstated. Students who repeatedly disobey their teachers' academic instructions could, however, be subject to exclusion.

14. 'Informal' or 'unofficial' exclusions, such as sending students home 'to cool off' are unlawful, regardless of whether they occur with the agreement of parents or carers. Any exclusion of a student, even for short periods of time, must be formally recorded.

15. Maintained schools have the power to direct a student off-site for education to improve his or her behaviour

16. A student can also transfer to another school as part of a 'managed move' where this occurs with the consent of the parties involved, including the parents. However, the threat of exclusion must never be used to influence parents to remove their child from the school.

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## APPENDIX 2: The Duties of the Governing Body

1. The Governing Body will consider the reinstatement of an excluded student within 15 school days of receiving notice of the exclusion if:

- The exclusion is permanent
- It is a fixed period exclusion which would bring the student's total number of school days of exclusion to more than 15 in a term
- It would result in a student missing a public examination or national curriculum test.

2. If requested to do so by the parents, the Governing Body will consider the reinstatement of an excluded student within 50 school days of receiving notice of the exclusion if a student would be excluded from school for more than five school days, but not more than 15, in a single term.

3. Where exclusion would result in a student missing a public examination or national curriculum test there is a further requirement for a governing body, so far as is reasonably practicable, to consider the exclusion before the date of the examination or test. If this is not practicable, the chair of governors may consider the exclusion independently and decide whether or not to reinstate the student. These are the only circumstances in which the chair can review exclusion decision alone. In such cases parents still have the right to make representations to the governing body and must be made aware of this right.

4. The following parties must be invited to a meeting of the governing body and allowed to make representations:

- Parents
- The Principal
- A representative of the local authority (in the case of a maintained school or PRU)

5. The governing body must make reasonable endeavours to arrange the meeting for a date and time that is convenient to all parties, but in compliance with the relevant statutory time limits set out above. However, its decision will not be invalid simply on the grounds that it was not made within these time limits.

6. In the case of a fixed period exclusion which does not bring the student's total number of days of exclusion to more than five in a term, the governing body must consider any representations made by parents, but it cannot direct reinstatement and is not required to arrange a meeting with parents. Statutory guidance to governing bodies in preparing for the consideration of exclusion decision

7. Where the governing body is legally required to consider the decision of a Principal to exclude a student, they should

- Not discuss the exclusion with any party outside of the meeting
- Ask for any written evidence in advance of the meeting (including witness statements and other relevant information held by the school such as those relating to a student's SEND)
- Where possible, circulate any written evidence and information, including a list of those who

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will be present, to all parties at least five school days in advance of the meeting

- Allow parents and students to be accompanied by a friend or representative (where a student under 18 is to be invited as a witness, the governing body should first seek parental consent and invite the parents to accompany their child to the meeting)
- Have regard to their duty to make reasonable adjustments for people who use the school and consider what reasonable adjustments should be made to support the attendance and contribution of parties at the meeting (for example where a parent or student has a disability in relation to mobility or communication that impacts upon their ability to attend the meeting or to make representations)
- Identify the steps they will take to enable and encourage the excluded student to attend the meeting and speak on his/her own behalf (such as providing accessible information or allowing them to bring a friend), taking into account the student's age and understanding, or how the excluded student may feed in his/her views by other means if attending the exclusion meeting is not possible.

8. Whilst there is no automatic right for an excluded student to take an examination or test on the excluding school's premises, the governing body should consider whether it would be appropriate to exercise their discretion to allow an excluded student on the premises for the sole purpose of taking the examination or test.

9. Where the governing body is legally required to consider exclusion, they must 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 school.

10. The governing body must also consider any representations made by

- Parents
- The Principal
- A representative of the local authority (in the case of a maintained school or PRU)

11. When establishing the facts in relation to exclusion decision the governing body must 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'. In the light of their consideration, the governing body can either uphold exclusion or direct reinstatement of the student immediately or on a particular date.

12. Where reinstatement is not practical because for example, the student has already returned to school following the expiry of a fixed period exclusion or the parents make clear they do not want their child reinstated, the governing body must, in any event, consider whether the Principal's decision to exclude the child was justified based on the evidence.

13. The governing body should identify the steps they will take to ensure all parties will be supported to participate in their consideration and have their views properly heard. This is particularly important where students under 18 are speaking about their own exclusion or giving evidence to the

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governing body.

14. The governing body should ensure that clear minutes are taken of the meeting as a record of the evidence that was considered by governing body. These minutes should be made available to all parties on request.

15. The governing body should ask all parties to withdraw before making a decision. Where present, a clerk may stay to help the governing body by reference to his/her notes of the meeting and with the wording of the decision letter.

16. In reaching a decision on whether or not to reinstate a student, the governing body should consider whether the decision to exclude the student was lawful, reasonable and procedurally fair, taking account of the Principal's legal duties.

17. The governing body should note the outcome of their consideration on the student's educational record, along with copies of relevant papers for future reference.

18. In cases where the governing body considers parents' representations but does not have the power to direct a student's reinstatement, they should consider whether it would be appropriate to place a note of their findings on the student's educational record.

19. Claims of discrimination to the First-tier Tribunal or County Court can be made up to six months after the discrimination is alleged to have occurred. Where practicable, schools should retain records and evidence relating to exclusion for at least six months in case such a claim is made.

20. Where legally required to consider exclusion, the governing body must notify parents, the Principal and the local authority of their decision, and the reasons for their decision, in writing and without delay. Where the student resides in a different local authority from the one that maintains the school, the governing body must also inform the student's 'home authority'.

21. In the case of a permanent exclusion the governing body's notification must also include the information below.

- The fact that it is permanent
- Notice of parents' right to ask for the decision to be reviewed by an independent review panel and the following information:
  - a) The date by which an application for a review must be made (i.e. 15 school days from the date on which notice in writing of the governing body's decision was given to parents)
  - b) The name and address to whom an application for a review (and any written evidence) should be submitted
  - c) That any application should set out the grounds on which it is being made and that, where appropriate, this should include a reference to how the student's special educational needs are considered to be relevant to the exclusion
  - d) That, regardless of whether the excluded student has recognised special educational needs, parents have a right to require the local authority / Academy Trust to appoint a

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- SEN expert to attend the review;
- e) Details of the role of the SEN expert and that there would be no cost to parents for this appointment;
- f) That parents must make clear if they wish for a SEN expert to be appointed in any application for a review
- g) That parents may, at their own expense, appoint someone to make written and/or oral representations to the panel and that parents may also bring a friend to the review.
- That, in addition to the right to apply for an independent review panel, if parents believe that the exclusion has occurred as a result of discrimination then they may make a claim under the Equality Act 2010 to the First-tier Tribunal (Special Educational Needs and Disability), in the case of disability discrimination, or the County Court, in the case of other forms of discrimination
- That a claim of discrimination made under these routes should be lodged within six months of the date on which the discrimination is alleged to have taken place e.g. the day on which the student was excluded.

22. The governing body may provide the information in delivering it directly to parents; leaving it at their last known address; or by posting it to this address.

23. Notice is deemed to have been given on the same day if it is delivered directly, or on the second working day after posting if it is sent by first class mail.

24. The governing body should set out the reasons for their decision in sufficient detail to enable all parties to understand why the decision was made.

25. Where relevant, it will be for schools to confirm the details of where the parents' application for an independent review panel should be sent. This is normally the clerk of the independent review panel.

26. In providing details of the role of the SEN expert, the governing body should refer to the statutory guidance provided to SEN experts.

27. Where the governing body decides to uphold exclusion, they should draw the attention of parents to relevant sources of free and impartial information that will allow them to make an informed decision on whether and, if so, how to seek a review of the decision. This information should be included in the letter notifying parents of a decision to uphold exclusion and should include:

- A link to the statutory guidance on exclusions: exclusion guidance
- A link to guidance on making a claim of discrimination to the First-tier Tribunal <http://www.justice.gov.uk/tribunals/send/appeals>
- A link to the Coram Children's Legal Centre: [www.childrenslegalcentre.com](http://www.childrenslegalcentre.com)  
08088 020 008
- Where considered relevant by the governing body, links to local services such as Traveller Education Services or the local parent partnership ([www.parentpartnership.org.uk](http://www.parentpartnership.org.uk)).

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### APPENDIX 3: Statutory Guidance on Arranging a Date and Venue for a Review

1. Local authorities/Academy Trusts must take all reasonable steps to ensure the venue for the review is appropriate, accessible to the parties, and has a suitable area for the parties to wait separately from the panel before the review.

2. Where the issues raised by two or more applications for review are the same, or connected, but the panel does not combine the reviews the local authority/Academy Trust should take reasonable steps to ensure fairness and consistency. Where possible, the same panel members should hear all related reviews.

3. The local authority/Academy Trust must constitute the panel with either three or five members (as decided by the local authority/Academy Trust) representing each of the three categories below. A five-member panel must be constituted with two members from each of the categories of school governors and Principals:

- A lay member to chair the panel who has not worked in any school in a paid capacity, disregarding any experience as a school governor or volunteer
- School governors who have served as a governor for at least 12 consecutive months in the last five years, provided they have not been teachers or Principals during this time
- Principals or individuals who have been a Principal within the last five years.

4. A person may not serve as a member of a review panel if they:

- Are a member/director of the local authority/Academy Trust or governing body of the excluding school
- Are the Principal of the excluding school or anyone who has held this position in the last five years
- Are an employee of the local authority/Academy Trust, or the governing body, of the excluding school (unless they are employed as a Principal at another school)
- Have, or at any time have had, any connection with the local authority/Academy Trust, school, parents or student, or the incident leading to the exclusion, which might reasonably be taken to raise doubts about their impartiality (though an individual must not be taken to have such a connection simply because they are a Principal at another school)
- Have not had the required training within the last two years.

5. In relation to panel members appointed by local authorities, sections 173(4) and 174(1) of Local Government Act 1972 apply when determining allowances for financial loss, travel or subsistence. It is for Academy Trusts to determine their own payment arrangements for panel members.

6. The local authority/Academy trust must make arrangements to indemnify panel members against any legal costs and expenses reasonably incurred as a result of any decisions or actions connected to the review which are taken in good faith.

7. Every care should be taken to avoid bias or an appearance of bias. The local authority/Academy Trust should request that prospective panel members declare any conflict of interest at the earliest opportunity.

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8. Where possible, panel members who are governors or Principals should reflect the phase of education (primary/secondary) and type of school from which the student was excluded, for example: special school; boarding school; PRU; Academy or maintained school.

9. The local authority/Academy Trust should consider whether the chair should be someone with a legal qualification or other legal experience. This is particularly important where a clerk will not be providing legal expertise to the panel.

10. In order to meet their duties within the statutory time frame, local authorities/Academy Trusts should identify a number of eligible individuals in each of the different categories required to constitute an independent review panel in advance of an application for a review.

11. The local authority/Academy Trust may appoint a clerk to provide advice to the panel and parties to the review on procedure, legislation and statutory guidance on exclusions.

12. Where appointed the clerk must perform the following additional functions:

- Make reasonable efforts to inform the following people that they are entitled to make written representations to the panel
- Attend and make oral representations to the panel
- Be represented and (in the case of a parent), to bring a friend:
  - a) The parents
  - b) The Principal (where an excluding Principal has left the school, the panel may use its discretion in deciding whether also to invite this person to make representations)
  - c) The governing body
  - d) The local authority (in the case of a maintained school or student referral unit).
- Make reasonable efforts to circulate to all parties, including to panel members and the SEN expert, copies of relevant papers 5 school days in advance of the review. These papers must include:
  - a) The governing body's decision;
  - b) The parents' application for a review; and
  - c) Any policies or documents that the governing body was required to have regard to in making their decision.
- Give all parties details of those attending and their role, once the position is clear
- Attend the review and ensure that minutes are produced in accordance with instructions from the panel.

13. Where a clerk is not appointed the functions in paragraph 102 become the responsibility of the local authority/Academy Trust.

14. The clerk should not have served as clerk to the governing body meeting.

15. In addition to the training required by law, clerks should have an up-to-date understanding of developments in case law, legislation and guidance which are relevant to exclusion.

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16. Where a clerk is not appointed, the local authority/Academy Trust should consider what additional steps it may need to take to ensure that the independent review panel is administered properly.

17. The clerk should identify in advance of the meeting whether the student will be attending. Where an excluded student is attending the hearing, consideration should be given in advance as to the steps that will be taken to support his/her participation. If the excluded student is not attending it should be made clear that he/she may feed in their views through a representative or by submitting a written statement.

18. In order to review the governing body's decision the panel will generally need to hear from those involved in the incident, or incidents, leading to the exclusion. The clerk should also try to ascertain whether an alleged victim, if there is one, wishes to be given a voice at the review. This could be in person, through a representative or by submitting a written statement.

19. In the case of witnesses who are students of the school it will normally be more appropriate for the panel to rely on written statements. Students may appear as witnesses if they do so voluntarily and with their parents' consent. In such cases, that student's parents should be invited to attend the meeting in support of their child.

20. Where character witnesses are proposed the clerk should seek the agreement of the panel, but this should be allowed unless there is good reason to refuse.

21. All written witness statements should be attributed, signed and dated, unless the school has good reason to wish to protect the anonymity of the witness, in which case the statement should at least be dated and labelled in a way that allows it to be distinguished from other statements. The general principle remains that excluded students are entitled to know the substance behind the reason for their exclusion.

22. Parties attending the hearing have the right to be represented. Representatives may make written or oral representations to the panel. If any of the parties wish to bring more than one friend or representative, the clerk should seek the panel's agreement in advance, having regard to a reasonable limit on numbers attending the review. However, all parents may attend, if they wish to do so, and each can make representations and be represented.

23. In addition to written witness statements, the clerk should request written evidence from the school in order to circulate it in advance of the meeting, such as policies and documents of the school which the governing body would reasonably have been expected to take account of in reaching their decision on the exclusion.

24. Where the school's case rests largely or solely on physical evidence, and where the facts are in dispute, then the physical evidence, if practicable, should be retained and be available to the panel. Where there are difficulties in retaining physical evidence, photographs or signed witness statements

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should be used.

25. The clerk should notify the panel where requested documents have not been provided so that the panel can take a decision on whether to adjourn the hearing.

26. The local authority/Academy Trust must ensure that all panel members and clerks have received training within the two years prior to the date of the review. This training must have covered:

- The requirements of the primary legislation, regulations and statutory guidance governing exclusions (which would include an understanding of how the principles applicable in an application for judicial review relate to the panel’s decision making)
- 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 bodies and the panel under the Equality Act 2010
- The effect of section 6 of the Human Rights Act 1998 (acts of public authorities unlawful if not compatible with certain human rights) and the need to act in a manner compatible with human rights protected by that Act.

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#### **APPENDIX 4: Statutory guidance to local authorities and Academy Trusts regarding SEN experts**

1. The SEN expert should be a professional with first-hand experience of the assessment and support of SEN, as well as an understanding of the legal requirements on schools in relation to SEN and disability. Examples of suitable individuals might include educational psychologists; specialist SEN teachers; special educational needs coordinators (SENCOs); and behaviour support teachers. Recently retired individuals are not precluded from fulfilling this role, though the local authority/Academy Trust would need to assure themselves that the individual had a good understanding of current practice and the legal requirements on schools in relation to SEN.

2. Whilst individuals are not automatically taken to be partial simply because they are an employee of, or contracted by, a local authority or Academy Trust, they should not have had any previous involvement in the assessment or support of SEN for the excluded student, or siblings of the excluded student. The local authority/Academy Trust should request that prospective SEN experts declare any conflict of interest at the earliest opportunity.

3. The final decision on the appointment of a SEN expert is for the local authority/Academy Trust to make but it should take reasonable steps to ensure that parents have confidence in the impartiality and capability of the SEN expert. Where possible, this may include offering parents a choice of SEN expert. In order to meet its duties within the statutory time frame, the local authority/Academy Trust should consider maintaining a list of individuals capable of performing the role of SEN expert in advance of a request.

4. It is for the local authority/Academy Trust to determine the amount of any payment in relation to the appointment of the SEN expert, such as financial loss, travel and subsistence allowances.

5. Panel members and, if appointed, the SEN expert must declare any known conflict of interest before the start of the review.

6. The jurisdiction of the First-tier Tribunal (Special Educational Needs and Disability) and County Court to hear claims of discrimination relating to a permanent exclusion does not preclude an independent review panel from considering issues of discrimination in reaching its decision.

7. The SEN expert's role is analogous to an expert witness, providing impartial advice to the panel on how special educational needs might be relevant to the exclusion. The SEN expert should base their advice on the evidence provided to the panel. The SEN expert's role does not include making an assessment of the student's special educational needs.

8. The focus of the SEN expert's advice should be on whether the school's policies which relate to SEN, or the application of these policies in relation to the excluded student, were legal, reasonable and procedurally fair. If the SEN expert believes that this was not the case, he/she should, where possible, advise the panel on the possible contribution that this could have made to the circumstances of the student's exclusion.

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9. Where the school does not recognise that a student has SEN, the SEN expert should advise the panel on whether he/she believes the school acted in a legal, reasonable and procedurally fair way with respect to the identification of any special educational needs that the student may potentially have, and any contribution that this could have made to the circumstances of the student's exclusion.

10. The SEN expert should not criticise a school's policies or actions simply because he/she believes a different approach should have been followed or because another school might have taken a different approach.

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## APPENDIX 5: Further Duties of the Panel

1. Where a panel directs a governing body to reconsider exclusion it has the power to order that a readjustment of the school's budget must be made or (in the case of an Academy) that the school must make an equivalent payment to the local authority if the governing body does not offer to reinstate the student within 10 school days of receiving notice of the panel's decision. The sum of this adjustment/payment must be £4,000 and would be in addition to any funding that would normally follow an excluded student.
2. The panel does not have the power to order a readjustment or payment in circumstances where it has only recommended that the governing body reconsiders their decision.
3. The panel may adjourn on more than one occasion, if necessary. However, consideration must be given to the effect of adjournment on the parties to the review, the excluded student and any victim.
4. A review cannot continue if the panel no longer has representation from each of the three categories of members required (see paragraph 93). In this event, the panel must be adjourned until the number can be restored.
5. Once a review has begun, no panel member may be substituted by a new member for any reason. Accordingly, if the required representation cannot be restored from the original members, a new panel must be constituted to conduct the review afresh. In the case of a five-member panel, the panel may continue in the absence of any of its members, provided all three categories of member are still represented.
6. Following the review, the panel must issue written notification to all parties without delay. This notification must include:
  - The panel's decision and the reasons for it
  - Where relevant, details of any financial readjustment / payment to be made if a governing body subsequently decides not to offer to reinstate a student
  - Any information that must be recorded on the student's educational record to reflect the decision (in particular, where a governing body does not decide to reinstate a student following a direction to reconsider, it must be noted that the exclusion will not count towards the rule that an admission authority may refuse to admit a child who has been excluded twice; or in the case of a community or voluntary controlled school, that the governing body may appeal against the decision of the local authority as the admission authority to admit the child).
7. The chair should outline the procedure to be followed and explain to all parties that the panel is independent of the school, the local authority or (in the case of an Academy) the Academy Trust.
8. The panel should support all parties to participate in the review and ensure that their views are properly heard. The independent review should be conducted in an accessible, non-threatening and non-adversarial manner.

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9. It is for the panel to decide whether any witnesses should stay for the rest of the review, but they should not be present before giving evidence.

10. In the interests of propriety, care should be taken to ensure that no party, other than the clerk, is present with the panel in the absence of the other parties. This includes the SEN expert. The panel should ask all parties, apart from the clerk, to withdraw before making a decision. The clerk may stay to help the panel by referring to the notes of the meeting and providing advice on the wording of the decision letter.

11. When considering the governing body's decision in light of the principles applicable in an application for judicial review, the panel should apply the following tests:

- Illegality – did the Principal and/or governing body act outside the scope of their legal powers in taking the decision to exclude?
- Irrationality – was the decision of the governing body not to reinstate the student so unreasonable that it was not one a sensible person could have made?
- Procedural impropriety – was the process of exclusion and the governing body's consideration so unfair or flawed that justice was clearly not done?

12. Procedural impropriety means not simply a breach of minor points of procedure but something more substantive that has a significant impact on the quality of the decision-making process. This will be a judgement for the panel to make but the following are examples of the types of things that could give rise to procedural impropriety:

- Bias
- Failing to notify parents of their right to make representations
- The governing body making a decision without having given parents an opportunity to make representations
- Failing to give reasons for a decision; or being a judge in your own cause (for example, if the Principal who took the decision to exclude were also to vote on whether to uphold the exclusion).

13. Where the criteria for quashing a decision have not been met the panel should consider whether it would be appropriate to recommend that a governing body reconsiders their decision not to reinstate the student. This should not be the default option, but should be used where evidence or procedural flaws have been identified that do not meet the criteria for quashing the decision but which the panel believe justify a reconsideration of the governing body's decision.

14. In all other cases the panel should uphold the exclusion.

15. In the case of a maintained school or PRU, where a panel has quashed the governing body's decision and directed that they reconsider, the panel should order that a readjustment must be made to the school's budget, unless the governing body subsequently offers to reinstate the student. The only exception to this is where a school does not have a delegated or separate budget from the local authority from which the readjustment can be made.

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16. In the case of an Academy, where the panel has quashed the governing body’s decision, the panel should order that the Academy must make a payment directly to the local authority in which the Academy is located, unless the governing body offer to reinstate the student.

17. The panel should order that the readjustment or (in the case of an Academy) payment is due automatically if the governing body has not offered to reinstate the excluded student within 10 school days of being notified of a direction to reconsider. The panel does not have to reconvene to issue this order.

18. The clerk to a review panel should ensure that minutes of the proceedings are taken, including details of the attendance, the voting and the decision.

19. The minutes are not public documents but should be retained by the local authority/Academy Trust for a period of at least five years, as they may need to be seen by a court or (in the case of maintained school) by the Local Government Ombudsman. Local authorities /Academy Trusts should be aware of their duties under the Freedom of Information Act 2000 and the Data Protection Act 1998 when retaining information.

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