



## **Exclusions checklist for principal**

The principal has a duty to inform the parents, governing body and local authority about an exclusion as set out in Section 4 of the DfE exclusions guidance. Whenever the principal excludes a pupil they must, without delay, notify the parents of the period of exclusion and the reasons for it.

Section 4 of the DfE exclusions guidance sets out what information should be provided to parents about the exclusion, alternative provision (if relevant) and sources of information.

The principal must, without delay, notify the governing body and the LA of:

- any permanent exclusion;
- any exclusion which would result in the pupil being excluded for a total of more than 5 school days in a term; and
- any exclusion which would result in the pupil missing a public examination or national curriculum test. Notification to the governing body can be in the form of an email informing the chair and clerk that a pupil has been excluded for x days (or permanently) and the reason.

If FTE, include if the exclusion will result in the pupil missing a public exam or National Curriculum test, or if it takes their total to between 5 and 15 days or above 15 days for the term. This is so the clerk knows what action they need to take (if any).

The principal must also notify the governing body and LA once per term of any other exclusions not already notified. This can be done through a collated report.



Investigation & Evidence Gathering		
1	Has sufficient evidence been gathered?	
2	Do you have witness statements from any victims (if relevant)? Are they signed and dated?	
3	Do you have witness statements from any staff and students who witnessed the incident (if relevant)? Are they signed and dated?	
4	If you have not taken statements from all witnesses, do you have a rationale for that?	
5	Do you have a statement from the excluded pupil? Is it signed and dated?	
6	If not, was the excluded pupil given sufficient opportunity to give a statement and do you have evidence of this? For example, emails requesting a statement, asking the parents to submit one on the pupil's behalf, giving clear timeframe to do so.	
7	Do the statements corroborate?	
8	If not, have you decided which version you believe on the balance of probabilities and why?	
9	Did the academy follow its behaviour policy and any other relevant policies (if relevant)?	
10	Were correct academy procedures followed when dealing with the incident/behaviour? For example, de-escalation techniques, physical restraint.	
11	Do you believe that the pupil was clear about the academy expectations as set out in the behaviour policy and the potential outcomes?	
12	Do you have a record of strategies and sanctions the academy tried before the exclusion, including internal support and outside agency support? For	



	example, tutor group change, lesson/timetable changes, regular check ins with a member of staff, restorative justice, anger management sessions, counselling, alternative provision, internal/FTE exclusions, managed moves.	
13	Have the parents been involved in (and kept informed about) these strategies and sanctions? Collect any records of meetings or contact with parents.	
14	Do you think the academy exhausted all support strategies and interventions for the pupil? Usually a consideration for PEX for persistent breaches.	
15	Does the pupil have any identified SEND? a. If yes, does the pupil have an EHCP in place and has appropriate provision been put in place? b. In no, might the pupil have SEND that to date have not been recognised? If so, have any steps been taken to assess?	
16	Have you complied with statutory duties in relation to SEN when administering the exclusion process (if relevant)?	
17	Are there any extenuating circumstances that might reasonably mitigate exclusion for the pupil? For example, family situation, mental health concerns, bereavement, bullying.	
18	Have you included any extenuating circumstances in your considerations?	
19	If you discounted any extenuating circumstances, do you have a rationale for this?	
Making the decision		
20	Do you believe, based on the balance of probabilities, that the pupil has done what is alleged?	
21	Was there a serious breach or persistent breaches of the academy's behaviour policy? (for PEX)	



22	Will allowing the pupil to remain in the academy seriously harm the education or welfare of the pupil or others in the academy? (for PEX)	
23	Do you have a rationale for your answers to questions 20 to 22?	
24	Will this exclusion result in the pupil missing a public exam or National Curriculum test?	
25	Do you consider that the decision to exclude this pupil is lawful, rational, reasonable, fair and proportionate? This judgement will be based on your responses to all the previous questions.	
Checks		
26	Have you (or a colleague) checked the exclusion paperwork for accuracy before issuing?	
27	Have you checked previous exclusions to establish the total for term and year including this exclusion? Note that you cannot exclude for more than 45 days in a year.	
Informing parties about the exclusion		
28	Inform the parents immediately, ideally initially in person or by telephone	
29	Send letter to parents	
30	<b>Exclusion resulting in the pupil missing a public exam or National Curriculum test</b> - notify chair, clerk and LA immediately. Clerk will arrange a panel to review the decision.	
31	<b>Permanent exclusion</b> - notify chair, clerk and LA immediately. Clerk will arrange a panel to review the decision.	
32	<b>Exclusion taking the pupil's total days of exclusion above 15 days for the term</b> - notify chair, clerk and LA immediately. Clerk will arrange a panel to review the decision.	



33	<b>Exclusion taking the pupil's total days of exclusion above 5 days but below 15 days for the term</b> - notify chair, clerk and LA immediately. If the parents request a reconsideration of the exclusion, notify the clerk who will have to arrange a panel to review the decision.	
Paperwork for panel (if panel hearing required)		
34	Are statements signed and dated?	
35	Are photos or other evidence labelled and dated?	
36	Are names redacted or changed to anonymous, identifying letters to protect the identity of all other individuals?	
37	Do you have witness statements from any victims (if relevant)? Are they signed and dated?	
38	Are names redacted or changed to anonymous, identifying letters to protect the identity of all other individuals?	