

Meeting of the University Academy of Engineering Local Governing Body

4.00 pm on Thursday, 9 May 2019
in University Academy of Engineering - Trafalgar Street, London SE17 2TP

Agenda

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
1.	Welcome and apologies		CM
2.	Declarations of interest		CM
3.	Minutes of previous meeting	3 - 8	CM
4.	Matters arising	9 - 10	CM
Items to discuss			
5.	Purpose and Scope of SAB - including updated scheme of delegation (SOD)	11 - 96	CM
6.	Governors' training and support	97 - 98	AE, CM
7.	Principal's report <ul style="list-style-type: none"> • Teaching and Learning update • Sixth form update • Safeguarding referrals and levels including any Prevent referrals • Learners outcomes – Years 11 & 13 • SEND – overview • Staffing – leavers, joiners, resignations, sickness absence, concerns • Vulnerable students – update on data • Exclusion data – including comparison with same period last year • Attendance for the year • Issues for celebration and for concern 	99 - 126	JT
8.	SEND - update on developments	To Follow	JT
9.	School Development Plan - key updates	To Follow	JT
10.	School Improvement Advisor report	127 - 170	JT
11.	Self-Evaluation Form	To Follow	JT
12.	UAE finance update	To Follow	CC
Items to note			
13.	Governors visits	Verbal Report	JT, CM

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
14.	UAE Risk register	171 - 178	JT, CC
15.	Keeping Children Safe in Education 2018 - read and sign	179 - 292	AE, CM
16.	SBA Board Strategy Day	Verbal Report	CM

**Date of next meeting
4.00 pm on Thursday, 27 June 2019**

Members: Chris Mallaband (Chair), Veronica Allen, Alex Drake, Karen Fowler, Zakir Matin, Lesley Morrison, Tony Roberts and John Taylor

In attendance: Clym Cunningham, Austin Shepherd and Alexander Enibe

**Minutes of the meeting of the University Academy of Engineering School
Advisory Board
held at 4.00 pm on Thursday, 21 March 2019
University Academy of Engineering - Trafalgar Street, London SE17 2TP**

Present

Chris Mallaband (Chair)
Zakir Matin
John Taylor

Apologies

Veronica Allen
Karen Fowler
Lesley Morrison
Tony Roberts

In attendance

Alexander Enibe

1. Welcome and apologies

The Chair introduced himself to the SAB (being his first meeting as Chair) and welcomed the governors to the meeting.

The above apologies were noted. The meeting was quorate.

2. Declarations of interest

No governors declared an interest in any item on the agenda.

3. Minutes of previous meeting

The SAB approved the minutes of the previous meeting held on 31 January 2019.

4. Matters arising

The SAB noted all matters arising from the previous meeting.

On matters arising from item 4, the SAB noted that the clerk has started the recruitment of more local governors. The SAB noted that a new governor has been appointed a local governor (Alex Drake).

The Chair has volunteered to be the safeguarding link governor.

The SAB requested that the Principal liaise with the Business Manager and contribute to the development of the UAE risk register.

The SAB requested that the Principal circulate the exam results in April, and prepare interventions based on the April exam results and come back to the SAB meeting in May 2019.

5. Curriculum and staffing plan for 2019/20

Jason Philipsz joined the meeting.

The SAB noted and supported the curriculum and staffing plan for 2019/20.

Jason confirmed that historically the curriculum was quite prescriptive, but that the Principal has introduced some changes like Day 10 since joining the UAE.

A governor asked Jason to explain Day 10. Jason gave a few examples including that some of the students do project learning which is set up by external organisations including LSBU; the students also do community projects that are linked to sustainability and others take part in an educational visit. The students rotate through the different activities every two weeks.

The SAB asked Jason about the other students that are not doing the Day 10. Day 10 runs for one year group at a time. Other year groups continue with their curriculum lessons on this day.

The SAB queried whether 5 hours for English was sufficient. The Principal confirmed that it is sufficient but that when the results are out, this can be reviewed.

In response to a question, Jason confirmed that the library lesson is being done by the Year 9 students.

The SAB requested that Maths and English Heads of Department do a presentation at the next SAB meeting in May 2019.

The SAB noted that under key stage 4 students will be able to study whatever subject they wish regardless of ability. Students can make 4 option choices; they can pick from Engineering, Product Design, Computer Science, Spanish, History, Geography, Art, Music, Drama, Business Studies and PE.

The SAB also noted that previously, Spanish was compulsory for all students, and students made 3 option choices: one had to be either Computer science or a Design and Engineering subject. The SAB noted that there may be a consequent reduction in the percentage of students who will follow a EBACC compliant curriculum and that this should be discussed with the Executive Principal.

The SAB noted that there would be changes to the number of lessons. Jason confirmed that next year, there would be 150 students in Year 7, which means that there will be an increase in the number of lessons that need to be taught in key stage 3 and 4 next year.

The SAB noted positively that the UAE has secured 150k funding from the DfE, as part of the DfE tailored support programme. The SAB congratulated the Principal for this. The UAE are reducing the number of lessons taught by recently qualified teachers and their mentors. As a result of all these developments the number of lessons that need to be supervised by teachers and support staff has increased by 176 since last year.

The SAB noted that the UAE would require investment in new teachers and discussed the funding. The Clerk advised the SAB that the Principal would have to apply for the funding through the Executive Principal, who will then seek approval from the CEO before this is brought to the SBA Board. The Chair suggested the he would raise the issue of funding with the Executive Principal, and in particular the issue of where the additional funding would come from.

The SAB noted the UAE teaching and non-teaching staff requirement for next year.

Jason Philipsz left the meeting.

6. Safeguarding software overview and attendance targets

Jason Badu joined the meeting

The SAB noted the safeguarding software overview (CPOMS) and attendance targets.

The SAB noted that the UAE previously had an old system but have now invested in CPOMS, which allows them to record safeguarding related events and concerns. The software can be used on mobile, laptops and phones. The SAB noted that personal data is well protected, as the system allows them to redact information, and that even staff do not have access to all information on the system. The SAB noted that CPOMS is now being used across many schools for school safeguarding.

The SAB asked which of the staff have access to CPOMS and will use CPOMS. Jason confirmed that the school police, some staff and safeguarding lead. Jason also confirmed the staff has been given leaflets to tell them their responsibilities and the safeguarding lead also provides guidance. The SAB noted that staff receive email notifications whenever they need to interact with CPOMS but they do not see the students' file.

Jason offered the chair of SAB to attend one of the intervention meetings at the school.

Jason Badu left the meeting

7. Sixth form curriculum offer, progress update and recruitment update

Meirion Lewis joined the meeting

The SAB noted and supported the sixth form curriculum offer, progress update and recruitment update.

The SAB noted the new 6th form offer and the rationale. The entry criteria; vocational pathway: minimum of 4 GCSE's at Grade 5-9 including Maths and English (A Merit at Level 2 BTEC will count as 1 GCSE). A Level pathway: minimum of 6 GCSE's at Grade 5-9 including Maths and English. Individual; courses have differing entry criteria. The SAB discussed the entry criteria.

The SAB noted that from September 2019 there would be new students joining as part of the UAE expanded Year 12 cohort. There will be a range of subjects on offer at A level to cater for the increased interests. In addition, the UAE will offer a level 3 BTEC in Engineering and Extended Project Qualification (EPQ).

The SAB noted the summary of Year 13 progress data from mock examinations in February 2019. Meirion confirmed that current results for A level subjects are already ahead of what the Year 13 students achieved last year.

In responding to a question from the SAB, Meirion predicted that results would be an improvement over the previous year.

The SAB noted that 55 students' applications were received. Out of this, 38 are internal applications and 16 are external applications (11 of those are for BTEC Engineering).

Meirion Lewis left the meeting

8. Year 6 admissions update

Rob Harding joined the meeting.

The SAB noted the Year 6 admissions update and commended the Academy, as it appears that they are likely to meet the Published Admission Number (PAN) for the first time and could potentially be oversubscribed.

The SAB noted the upward and positive 3 year trend in 2017/18, 2018/19 and 2019/20.

Rob Harding left the meeting.

9. Year 7 to 10 assessment and reporting model

The SAB noted and supported the Year 7 to 10 assessment and reporting model.

The Principal took the SAB through the key stage 3 assessment model, target setting, formative assessment, mid-year reporting to parents and end of the year summative assessment.

10. Pupil premium spending 2018/19

The SAB noted the pupil premium spending plan. The Principal took the SAB through the spending plan.

The SAB queried the Principal on the impact of the pupil premium spending on the students and how it can be measured. The Principal suggested that this is an area where LSBU could do some research.

Overall, the SAB were impressed with the pupil premium plan.

11. Link governor roles' update (to review)

The SAB noted the link governors' role update. The chair volunteered to be the safeguarding link governor.

The SAB discussed the possibility of having all the governors attend each of the link governor visits together instead of governors doing independent link visits. The SAB agreed to consult further.

12. Governors' visit update

The SAB noted Zakir Matin's (curriculum) link governor visit update.

13. SBA and SAB Chairs' recruitment update

The SAB noted the SBA and SAB chairs' recruitment update.

**Date of next meeting
4.00 pm, on Thursday, 9 May 2019**

Confirmed as a true record

..... (Chair)

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**UNIVERSITY ACADEMY OF ENGINEERING SCHOOL ADVISORY BOARD - THURSDAY, 21 MARCH 2019
ACTION SHEET**

Agenda No	Agenda/Decision Item	Action	Date Due	Officer	Action Status
4.	Matters arising	<p>The SAB requested that the Principal liaise with the Business Manager and contribute to the development of the UAE risk register.</p> <p>The SAB requested that the Principal circulate the exam results in April, and prepare interventions based on the April exam results and come back to the SAB meeting in May 2019.</p>	May 2019	<p>John Taylor, Clym Cunnington</p> <p>John Taylor</p>	<p>To do</p> <p>To do</p>
5.	Curriculum and staffing plan for 2019/20	The SAB requested that Maths and English Heads of Department do a presentation at a future SAB meeting.		John Taylor	To do
6.	Safeguarding software overview and attendance targets	The SAB requested that the chair of SAB attend one of the intervention meetings at the school.	9 May 2019	John Taylor, Chris Mallaband	To do
7.	UAE Autumn Term 2018 visit update	The SAB requested that the Clerk liaises with the Principal to agree on the best time to invite the school improvement advisor to attend the SAB meeting to debrief the SAB.	27 June 2019	Alexander Enibe, John Taylor	Rachel advised it is better to come at the end of the academic year 2019.

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Agenda Item 5

	CONFIDENTIAL
Paper title:	Purpose and Scope of SAB (revised SOD)
Board/Committee:	UAE School Advisory Board meeting
Date of meeting:	09 May 2019
Author:	South Bank Academies Board
Sponsor:	Chris Mallaband, Chair of SAB
Purpose:	For Review
Recommendation:	The SAB is requested to read the highlighted part of the “governance in multi-academy trusts” attached.

Executive Summary

The SAB is requested to read the highlighted part of the “governance in multi-academy trusts” and note the SBA revised Scheme of Delegation.

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Scheme of Delegation for ~~Local Governing~~ ~~Bodies~~ School Advisory Boards

South Bank Academies

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1 Introduction

This Scheme of Delegation has been made by the Trustees of South Bank Academies (the "SBA") pursuant to Article 100 of its Articles of Association.

2 Remit

Broadly, the role of each of SBA's ~~Local Governing Bodies~~ School Advisory Boards (each an "~~SAB~~ LGB") is to provide focused governance for South Bank Engineering UTC (the "**UTC**") and the University Academy of Engineering South Bank (the "**Academy**") at a local level. Each LGBSAB monitors the UTC's and Academy's key performance indicators and acts as a critical friend to their respective Principals, providing challenge where appropriate.

The LGBSABs carry out their functions in relation to their respective UTC and Academy on behalf of the Trustees and in accordance with policies determined by the Trustees. The act of delegation by the Trustees to each LGBSAB is a delegation of powers and duties, and not a delegation or shedding of responsibilities.

In this Scheme:

- each member of an LGBSAB is a "**Local Governor**";
- those members of an LGBSAB who are parents or guardians of pupils at the UTC or the Academy are referred to as "**Parent Local Governors**";
- those members of the LGBSAB for the Academy who are members of teaching or non-teaching staff at the Academy are referred to as "**Staff Local Governors**";
- references to the "Trustees" are to the board of directors and charity trustees of SBA; and
- references to the "**Chief Executive Officer**" are to the Chief Executive officer of SBA (whether an interim or permanent office).

3 Composition of ~~Local Governing Bodies~~ School Advisory Boards

3.1 South Bank Engineering UTC

The LGBSAB for South Bank Engineering UTC comprises a maximum of twelve members who are known as **Local Governors** and will include:

- up to 5 members appointed by the University Sponsor;
- 2 members appointed by the Employer Sponsors;
- the School Principal of the UTC or the Executive Principal of SBA (as determined by the Trustees);
- 2 elected parents or guardians of a pupil at the UTC; and
- up to 2 such other members as may be appointed by the Trustees from time to time;

provided that at all times, more than one half of the total members of the LGBSAB shall be appointed by the University Sponsor and the Employer Sponsors in accordance with Article 102.

3.2 University Academy of Engineering South Bank

The LGBSAB for the Academy comprises a maximum of twelve Local Governors and will include:

- the School Principal of the Academy or the Executive Principal of SBA (as determined by the Trustees);
- 2 elected parents or guardians of a pupil at the UTC;
- up to 2 employees of the Academy; and
- up to 7 such other members as may be appointed by the Trustees from time to time.

3.3 Terms of office and declarations

Each LGBSAB shall have an LGBSAB Chairman and an LGBSAB Vice-Chairman.

The length of service of all Local Governors shall be three years. Subject to remaining eligible to be a Local Governor, any Local Governor may be reappointed or re-elected at the end of his or her term.

Every person wishing to become a Local Governor will be required to sign a declaration of acceptance and of willingness to act as a Local Governor, in the form set out in Appendix 1 or as prescribed by the Trustees from time to time, and shall make disclosures for the purposes of a criminal records check by the Disclosure and Barring Service.

4 Commitment of Local Governors

Local Governors are asked to:

- prepare for and make an active contribution at meetings of the LGBSAB;
- champion the UTC or Academy in the local community;
- familiarise themselves with the UTC's or Academy's policies;
- visit the UTC or the Academy both during school hours (with the prior agreement of the relevant Principal) and for evening events to get to know the UTC or the Academy and to be visible to the UTC or Academy community; and
- attend, where possible, training sessions for Local Governors.

5 Appointment and particular responsibilities of Local Governors

5.1 LGBSAB Chairman

The LGBSAB Chairman is appointed by the Trustees. The term of office of the LGBSAB Chairman is three years, but the LGBSAB Chairman is eligible for reappointment at the end of that term.

The Trustees are entitled to remove the LGBSAB Chairman from office at any time, although this is without prejudice to the individual's position as a Local Governor.

The LGBSAB Chairman will ordinarily meet with the Chairman of the Trustees, the Chief Executive Officer or the Executive Principal (as determined by the Trustees) and the School Principal of the UTC or the Academy and the Clerk to the LGBSAB before the start of the academic year to plan the work of the LGBSAB for the year.

The responsibilities of the LGBSAB Chairman include the following:

- to chair meetings of the LGBSAB;
- to set the agenda for meetings with the School Principal and Executive Principal and LGBSAB Vice-Chairman;
- to report to the Trustees in writing following each LGBSAB meeting, if requested to do so by the Trustees;

- to give an oral summary of the LGBSAB's deliberations if requested at meetings of the Board of Trustees; and
- to provide a direct link between the LGBSAB and the Trustees.

In the event of a need to make urgent decisions between meetings on matters falling within the remit of the LGBSAB, the chairman of Trustees, in consultation with the LGBSAB Chairman (or the LGBSAB Vice-Chairman in his or her absence) and the Chief Executive Officer, shall take appropriate action on behalf of the LGBSAB. The decisions taken and the reasons for urgency shall be explained fully at the next meeting of the Board of Trustees and of the relevant LGBSAB.

5.2 LGBSAB Vice-Chairman

The LGBSAB Vice-Chairman is appointed by the Trustees. The term of office of the LGBSAB Vice-Chairman is three years, but the LGBSAB Vice-Chairman is eligible for reappointment at the end of that term.

The Trustees are entitled to remove the LGBSAB Vice-Chairman from office at any time, although this is without prejudice to the individual's position as a Local Governor.

The responsibilities of the LGBSAB Vice-Chairman include the following:

- to deputise for the LGBSAB Chairman in his or her absence;
- to set the agenda for meetings of the LGBSAB with the LGBSAB Chairman, if requested; and
- to provide a link between the LGBSAB and the Trustees.

In the event that both the LGBSAB Chairman and the LGBSAB Vice-Chairman are absent from a meeting of the LGBSAB (or otherwise), the LGBSAB will elect a temporary chairman from among their number.

5.3 Staff Local Governors

~~Teaching members of the LGBSAB for the Academy shall be elected by the teaching staff at the Academy.~~

~~Non-teaching staff members of the LGBSAB for the Academy shall be elected by the non-teaching members of staff of the Academy. Any teaching members of a SAB shall be nominated by staff and approved by a Panel of Local Governors.~~

The role of the Staff Local Governors includes reflecting the interests and opinions of staff at the Academy to the LGBSAB.

5.4 Parent Local Governors

Parent Local Governors for each LGBSAB shall be elected in accordance with the process set out below:

- When a vacancy arises, the LGBSAB will write to all parents, or individuals exercising parental responsibility, of pupils at the UTC or the Academy seeking nominees for the vacancy. Nominees will be asked to provide a short statement about why they are interested in being a Parent Local Governor and their background and experience that makes them suitable for the role.
- In the event that the number of nominees equals or is less than the number of vacancies on the LGBSAB, the LGBSAB can choose to appoint all (or any) of those nominated).

- If there are more nominees than places available, the **LGBSAB** will write to all parents, or individuals exercising parental responsibility, of pupils at the UTC or the Academy asking them to vote for their preferred candidate.

A Parent Local Governor should be a parent, or individual exercising parental responsibility, of a registered pupil at the UTC or the Academy or where this is not reasonably practical, a person who is the parent of a child of compulsory school age.

The role of the Parent Local Governor includes reflecting the interests and opinions of the parent body of the UTC or the Academy to the **LGBSAB**.

5.5 Other responsibilities

Each **LGBSAB** shall appoint from among its members individuals with specific responsibilities which shall include:

- a Local Governor with responsibility for special educational needs;
- a Local Governor with responsibility for safeguarding;
- a Local Governor with responsibility for finance;
- a Local Governor with responsibility for the pupil premium; and
- a Local Governor with responsibility for health and safety.

5.6 Clerk to the Local Governing Body

The Trustees shall appoint a Clerk to the **LGBSAB**. In the absence of the Clerk, the **LGBSAB** shall elect a replacement for the meeting.

The responsibilities of the Clerk to the **LGBSAB** are as follows:

- to convene meetings of the **LGBSAB** including sending notices and papers of meetings;
- to attend meetings of the **LGBSAB** and ensure minutes are produced;
- to maintain a register of members of the **LGBSAB** including their terms of office and report any vacancies to the **LGBSAB**;
- to maintain a register of business interests of **LGBSAB** members;
- to maintain a register of Local Governors' attendance at meetings and report on non-attendance to the **LGBSAB**;
- to report to the **LGBSAB** as required on the discharge of the Clerk's functions; and
- to perform such other functions as shall be determined by the **LGBSAB** from time to time.

5.7 Ceasing to be a Local Governor

A Local Governor's term of office will be terminated if:

- any event or circumstance occurs which would disqualify him or her from the office of Trustee under the Articles were he or she to hold such office;
- he or she has, without the consent of the **LGBSAB**, failed to attend **LGBSAB** meetings for a continuous period of six months, beginning with the date of the first such meeting he or she failed to attend and the **LGBSAB** Chairman and the **LGBSAB** Vice-Chairman agree that the term of office should be terminated;
- he or she resigns from office by written notice to SBA;

- he or she is removed by the person or persons who appointed him (but this does not apply in respect of a person who is serving as a Parent Local Governor);
- he or she is a Staff Local Governor who has ceased to be employed by SBA; or
- he or she is removed by the Trustees in circumstances where they consider (acting reasonably) that it is in the best interests of SBA to remove the Local Governor.

6 **Convening meetings of the ~~Local Governing Body~~ School Advisory Board**

Meetings of the LGBSAB will be held in each term.

The Clerk to the LGBSAB shall give written notice of each meeting and circulate an agenda at least seven clear days in advance of each meeting and shall circulate reports or other papers to be considered at the meeting as soon as reasonably practicable thereafter. However, where the LGBSAB Chairman determines there are matters demanding urgent consideration, it shall be sufficient if the written notice of the meeting states that fact and the notice, copy of the agenda and other papers are given within such shorter period as the LGBSAB Chairman directs.

~~Any two Local Governors may call a meeting by giving written notice to the Clerk, which includes a summary of the business they wish to carry out. It shall be the duty of the Clerk to convene a meeting as soon as reasonably practicable.~~

The Local Governors may invite persons who are not Local Governors (such as a member of a committee, any employee, any pupil, any professional adviser and any experts of any kind) to attend the whole or part of any meeting for purposes connected with the meeting.

The convening of a meeting and the proceedings conducted at meetings shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda.

7 **Voting at meetings of the ~~Local Governing Body~~ School Advisory Board**

The quorum for meetings of the LGBSAB and for any vote on a matter at such meetings is one third of the total number of Local Governors in office at that time (rounded up to the nearest whole number).

A meeting shall be terminated if the number of Local Governors present ceases to constitute a quorum. Where a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the Clerk as soon as is reasonably practicable, but in any event within seven days of the date on which the meeting was originally to be held or was so terminated.

Any Local Governor shall be able to participate in, and be counted as present at for the purposes of the quorum, meetings by telephone or video conference provided that:

- he has given notice of his intention to do so detailing the telephone number on which he can be reached and/or appropriate details of the video conference suite from which he shall be taking part at the time of the meeting at least 48 hours before the meeting; and
- the LGBSAB has access to the appropriate equipment;

and provided that, if after all reasonable efforts it does not prove possible for that Local Governor to participate by telephone or video conference, the meeting may still proceed with its business provided it is otherwise quorate.

As determined by the LGBSAB Chairman, questions to be decided upon at a meeting of the LGBSABs shall be determined by a majority of the votes of Local Governors present and voting on the question. Votes tendered by proxy shall not be counted.

Where there is an equal division of votes on a question determined by the **LGBSAB** Chair~~man~~ to be decided by a vote, the **LGBSAB** Chair~~man~~ has a casting vote.

The Local Governors may act notwithstanding any vacancies, but, if the number of Local Governors is less than the number fixed as the quorum, the continuing Local Governors may act only for the purpose of filling vacancies.

~~A resolution in writing, signed by all Local Governors entitled to receive notice of a meeting shall be valid and effective as if it had been passed at a meeting duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more Local Governors and may include an electronic communication by or on behalf of the **LGBSAB** indicating his or her agreement to the form of resolution providing that the Local Governor has previously notified the **LGBSAB** in writing of the email address or addresses which the Local Governor will use.~~

98 Personal interests of Local Governors

Local Governors shall complete a register of their business and other interests (including any post or office held by them), which shall be reviewed annually.

Any Local Governor who has any duty or personal interest that conflicts or may conflict with his or her duties as a Local Governor shall:

- disclose that fact to the **LGBSAB** as soon as he or she becomes aware of it. A Local Governor must absent himself or herself from any discussions of the **LGBSAB** in which it is possible that a conflict will arise between his or her duty to act solely in the interests of the UTC or the Academy and such duty or personal interest;
- withdraw from any meeting for that item unless expressly invited to remain in order to provide information;
- not be counted in the quorum for that part of any meeting; and
- withdraw during the vote and have no vote on the matter.

109 Committees of the ~~Local Governing Body~~ **School Advisory Board**

With the prior agreement of the Trustees only, ~~The~~ **LGBSAB** may establish committees to carry out certain functions of the **LGBSAB**. The **LGBSAB** must determine the constitution, membership and terms of reference of any committee it decides to establish and review them annually.

~~The establishment of any committees, other than temporary, ad hoc committees required to deal with specific issues, must be agreed in advance with the Trustees.~~

1210 Minutes

Attendance at each **LGBSAB** meeting, issues discussed and recommendations for decisions shall be recorded and the minutes signed by the **LGBSAB** Chair~~man~~ at the next meeting of the **LGBSAB**. The written record (once approved by the relevant **LGBSAB** Chair~~man~~) shall be forwarded by the Clerk to the **LGBSAB** to the Clerk to the Trustees as soon as is reasonably practicable.

1311 Delegation to the **LGB-SAB**

The role of the SAB is primarily focused on reviewing, challenging and advising on the local School Development Plan, on academic performance and support, key Link Governor roles, and support and advocacy for the school with parents and community.

For the avoidance of any doubt, **Appendix 2** contains a list of reserved matters which are matters for consideration and determination by the Members and Board of Trustees only.

The governance of the UTC and the Academy is delegated to the respective LGB who may exercise the powers of SBA in so far as they relate to the Academy and the UTC, SUBJECT TO:

- ~~any restrictions in the Companies Act which requires a decision of the Members or the Trustees of SBA;~~
- ~~the Articles;~~
- ~~Policies and Procedures set by the Trustees;~~
- ~~A specific decision of the Trustees;~~
- ~~The budget set by the Trustees; and~~
- ~~The reserved matters as set out in Appendix 2.~~

The ~~LGB SAB~~ shall have the roles set out in this section and any other role that the Trustees agree shall be carried out by the ~~LGB SAB~~ and that is communicated in writing to the ~~SAB LGB~~ Chairman.

a) Monitoring and evaluation

- Monitoring of UTC or Academy key performance indicators as they relate to academic targets.
- Ensuring effective processes are in place for monitoring the quality assurance of teaching and learning, the curriculum, inclusion and the sharing of good practice across the UTC or Academy.

~~b) Risk, finances and asset management~~

~~Ensuring adequate financial and asset management systems are in place across the UTC or Academy.~~

~~Ensuring proper internal controls are in place at the UTC or Academy.~~

~~Monitoring the UTC's or Academy's delegated budget and ensuring that any variances are reported to the Trustees' Finance Committee for approval.~~

~~Monitoring the local arrangements for the effective supervision of building maintenance and minor works.~~

~~Monitoring the implementation of the UTC's or Academy's health and safety policy in the Academy and the local arrangements for the effective supervision of health and safety matters.~~

~~Supporting the Principal in the preparation of a risk register for the LGB and reviewing the risk register on a regular basis.~~

be) Governance

- Ensuring there is effective communication between SBA and the ~~LGB SAB~~.
- Making arrangements for the ~~appointment recruitment~~ of Staff, Parent and Local Governors (as appropriate) and where appropriate in accordance with clause 5, recommending their appointment to the SBA Board.
- Appointing from its number, Local Governors with specific responsibilities as set out in clause 5.5, including for special educational needs, child protection and financial matters ~~Pupil Premium, Safeguarding and curriculum.~~

- Establishing an Exclusions Committee for reviewing decisions of the School Principal in that respect.
- ~~• Establishing an appeals panel in respect of staff redundancies or disciplinarys as required.~~
- ~~• Consulting with the Trustees on any proposals to establish any sub-committees other than temporary, ad hoc sub-committees required to deal with specific issues.~~

~~d)~~ **Staffing**

- ~~• Supporting the Principal in the appointment of UTC or Academy staff to ensure that the UTC or Academy is fully staffed.~~
- ~~• Ensuring SBA's policies on all HR matters are implemented in the UTC or Academy.~~
- ~~• Making recommendations to the HR Committee in relation to the Principal.~~
- ~~• Monitoring the implementation of SBA's policies at the UTC or Academy for HR matters including the appointment, induction and performance management of staff, pay review process and procedures for dealing with disciplinary matters, grievances and dismissal.~~

ec) Students

- Ensuring effective arrangements are in place for student support and representation at the UTC or Academy.
- ~~• Ensuring the admission arrangements in the UTC or Academy conform to the code of practice.~~
- ~~• Ensuring effective arrangements are in place for student recruitment.~~
- ~~• Ensuring student attendance and monitoring systems are in place to maintain access to education at all times.~~
- ~~• Establishing arrangements for reviewing decisions of the Principal regarding exclusions.~~

fd) Safeguarding

- ~~Reviewing and m~~ Maintaining and apply SBA's a safeguarding and child protection policy for the UTC or Academy ~~(consistent with SBA policy).~~
- Appointing from its number, a Local Governor with specific responsibility for safeguarding.
- Ensuring the completion of the single central record.

ge) Community and parents

- Contributing to the development of the UTC or Academy prospectus.
- Supporting SBA, and the School Principal **and the Executive Principal** in the extended school provision in the UTC or Academy.
- Ensuring systems are in place in line with SBA's strategy at the UTC or Academy for effective communication with students, parents or carers, staff and the wider community including the establishment and support of a local parent teacher association.
- Implementing a means whereby the UTC or Academy can receive and react to parental feedback.
- Establishing and maintaining a relationship with the local elected community representatives.

14.12 Intervention Rights

Intervention

The Trustees remain ultimately responsible for SBA and the conduct of the UTC and the Academy. Delegation to the LGBSABs is important to SBA's effective governance. However, there will be circumstances (more the exception than the norm) where the Trustees might need to intervene and, for example, withdraw delegated authority for a particular element of governance from an LGBSAB.

In such circumstances, the Trustees, along with the Chief Executive Officer and his or her team including the Executive Principal (the "**Central Team**") would work closely with the UTC or the Academy (as relevant) and those involved in their governance who would be expected to promptly implement any advice or recommendations made by the Trustees and the Central Team.

The Trustees reserve the right to review or remove any power or responsibility which it has delegated or, in exceptional circumstances, remove the LGBSAB, in circumstances where serious concerns in the running of the UTC or the Academy are identified (either internally within SBA or by a third party), including where:

- there are concerns about financial matters;
- insufficient progress is being made against educational targets (including where intervention by the Secretary of State is being considered or carried out);
- there has been a breakdown in the way the UTC or the Academy is managed or governed;
- the safety of pupils or staff is threatened, including a breakdown of discipline; or
- the Trustees consider such removal of power or responsibility appropriate in all of the circumstances.

The delegated budget

In line with their duties and responsibilities as trustees and directors, the Trustees shall be entitled to determine that a proportion of the budget in respect of the UTC or the Academy be held centrally for the following reasons:

- to be allocated to the provision of central services received by the UTC or the Academy;
- in pursuance of SBA's reserve policy; and/or
- as otherwise may be determined by the Board acting reasonably and in the best interests of SBA.

13 The School Principals

The School Principals are responsible to the Trustees for:

- the internal organisation, management and control of his or her respective Academy;
- the implementation of all policies approved by the Trustees that relate to his or her respective Academy; and
- the direction of the teaching and implementation of the curriculum at his or her respective Academy.

The Trustees may delegate such additional powers and functions as they consider are required by each of the School Principals to enable them to carry out the above responsibilities.

The School Principals are line-managed by the Executive Principal.

1514 Alterations

This Scheme of Delegation may be altered at any time by a majority resolution of the Trustees of SBA provided that in respect of any alterations which affect the UTC, SBA will first consult with the Chief Executive of the Baker Dearing Educational Trust in accordance with Article 137 of the Articles of Association. Any such alteration shall be promptly notified to the relevant LGBSAB by the Trustees.

1615 Circulation list

This Scheme of Delegation will be circulated to Trustees of SBA, all Local Governors, the Clerk to the LGBSAB and others at the discretion of the Chairman of the Trustees of SBA or an LGBSAB Chairman.

This Scheme of Delegation was approved and adopted by a resolution of the Trustees of SBA passed at a meeting held on [• 00 month year] and takes effect from [• 00 month year].

Date of next review: []

Appendix 1 Local Governor declaration

The Clerk to the Trustees
South Bank Academies

[• 00 month year]

Dear Sirs

South Bank Academies ("SBA") - appointment as a Local Governor

I confirm that I wish to be a Local Governor in respect of SBA in accordance with the Scheme of Delegation for ~~Local Governing Bodies~~School Advisory Boards prescribed by the Trustees of SBA from time to time.

I confirm that I am not disqualified from becoming a Local Governor by reason of any provision in the Scheme of Delegation or the Articles of Association of SBA.

I also confirm that I understand that I must disclose any personal interest I may have in any matter to be discussed at a meeting of the Local Governors in accordance with paragraph 8 of the Scheme of Delegation (or as prescribed by the Trustees of SBA from time to time).

Yours faithfully

Signed

Name

Date

Appendix 2 Reserved matters

The Reserved Matters are:

Members

(subject to such other consents/ requirements as might be required by law or the Funding Agreement)

- 1 to change the name of SBA
- 2 to change the Objects (which would require Charity Commission and Secretary of State consent in any event)
- 3 to change the structure of the Board of Trustees
- 4 to amend the Articles of Association
- 5 to amend this Scheme
- 6 to pass a resolution to wind up SBA
- 7 to appoint the auditors (save to the extent that the Trustees may make a casual appointment)

Trustees

(subject to such other consents/ requirements as might be required by law or the Funding Agreement)

- 8 to change the name of the Academies
- 9 to change the structure of the LGBSAB (subject to any third party approvals that may be necessary)
- 10 to determine the educational character, mission or ethos of the Academies
- 11 to adopt or alter the constitution and terms of reference of any committee of the Board of Trustees
- 12 to terminate a supplemental funding agreement for an Academy
- 13 to establish a trading company
- 14 to sell, purchase, mortgage or charge any land in which SBA has an interest
- 15 to approve the annual estimates of income and expenditure (budgets) and major projects
- 16 to appoint investment advisors
- 17 to sign off the annual accounts;
- 18 to appoint or dismiss the Finance DirectorBusiness Manager, the Chief Executive Officer (whether interim or permanent), the Executive Principal, the School Principals, the

Company Secretary or the Clerk to the Trustees;

- 19 to settle the division of executive responsibilities between the Trustees on the one hand and Chief Executive Officer (whether interim or permanent), the Business Manager, the Executive Principal and the School Principals ~~and the Finance Director~~ on the other hand, and to settle the division of executive responsibilities between those individuals
- 20 to do any other act which the Funding Agreement expressly reserves to the Board of Trustees or to another body (including for the avoidance of doubt, terminating the Funding Agreement or any part of it)
- 21 to do any other act which the Articles expressly reserve to the Board of Trustees or to another body
- 22 to do any other act which the Board of Trustees determine to be a Reserved Matter from time to time

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National College for
Teaching & Leadership

Governance in multi-academy trusts

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Note: The approved Department for Education (DfE) terms have been used throughout this publication but you will notice that the case study academies use their own terms, and these have been retained where they arise.

Introduction

1/65

Welcome to the National College for Teaching and Leadership (NCTL) and to this guide, which, through a series of case studies and accounts of practice, explores governance in multi-academy trusts (MATs). You will find this guide useful if you are involved in the governance or leadership of a school that:

- is considering becoming part of a MAT
- is considering converting to MAT status
- has been invited to become an academy
- is interested in finding out more about governance in MATs
- is reviewing governance in its MAT

The resource aims to offer support and guidance to governors of maintained schools, to trustees and local governors of existing MATs, as well as to school leaders. It will help them find out more about the MAT model by exploring the key benefits and opportunities that it offers. The resource also provides an overview of educational legislation relating to MATs, and looks at the skills and attributes that MAT trustees and chairs need for effective governance.

It also sets out a number of key questions that governors and school leaders in maintained schools need to ask as they consider the MAT model, and offers seven signposts to success.

The guide is relevant to all types of school in England, including church schools. It offers a brief overview of the unique implications for church schools considering a MAT model.

It can be used by governors and school leaders in a variety of ways, including:

- for personal reading and reference
- for discussions around specific sections or case studies with working parties, small governor groups or full governing bodies
- *Key governor skills and attributes* (see page 7), as a starting point for the development of a skills-based set of criteria for governor selection and recruitment
- *Key questions that governors in maintained schools should ask* (see page 8), to support research and the development of themed working parties, or as a checklist

Why a MAT model?

Sponsor headteachers and chairs of governors interviewed for this publication cited a strong sense of moral purpose and an aspiration to improve the quality of teaching and learning as key drivers for adopting a MAT model. It has enabled them to build on existing partnerships, work collaboratively and support schools to improve attainment.

The MAT model has also allowed them to capitalise on the benefits of this approach, including:

- sharing best practice
- economic benefits, such as centralised services
- the ability to focus funds where they are most needed
- increased and flexible staffing resources
- the opportunity to establish succession planning programmes and, in doing so, retain good staff who might otherwise move on – including headteachers

For some schools, a MAT model has enabled them to remain local but also to grow and expand, and support a wider network of schools. Equally, the MAT model offers a school the potential to retain its unique characteristics and maintain its own local governing body; it also offers headteachers a high degree of autonomy in leading their schools, whilst giving them the freedom to focus on teaching and learning.

Those schools invited to become academies all sought sponsors whose philosophy and values were strongly aligned with their own. They also valued the experience and expertise in school improvement that their sponsor offered. This support structure, time and expertise made a significant difference to principals and chairs of the local governing bodies by allowing them to maintain a strong focus on teaching and learning. Some schools are already seeing the benefits of being part of a MAT, including:

- high-quality staff development
- enrichment opportunities for students
- investment in school facilities
- greater community involvement
- a clearer identity and focus
- a stronger focus on teaching and learning
- a stronger focus on data and pupil attainment
- more effective governance

Many of the reasons and benefits outlined above for becoming or joining a MAT are reflected and expanded in the case studies included here.

Regulations

3/65

There is nothing in education legislation that prescribes how MATs must be composed. Academies are governed through their articles of association. The Department for Education's MAT model articles and memorandum (available at www.gov.uk/government/publications/academy-model-memorandum-and-articles-of-association) contains information about trustees and on how meetings are managed. The only prescriptions are as follows¹:

- There must be at least three signatory members.
- The CEO is a trustee, unless they themselves choose not to be.
- There will be two elected parent trustees or representatives, either on the board of the MAT or on each of the local governing bodies.
- The number of trustees that are local authority influenced cannot exceed 20% (see article 140).
- The number of members that are local authority influenced cannot exceed 19.9% (see article 139).

The relationship between the trust and the secretary of state for education is set out in a legal document known as the funding agreement. The funding agreement and the *Academies Financial Handbook* are two key documents that all trustees need to be aware of. The *Academies Financial Handbook* sets out the related duties and obligations of academy trusts, and non-compliance with the funding agreement could, ultimately, lead to the secretary of state rescinding the academy order.

Governors must also provide an annual governance statement, which is published by the Education Funding Agency (under the 'Academies Accounts Direction') and which should explain governance structures.

¹ Information correct as of April 2014. Refer to model articles and Governor's Handbook for current information.

Governance in MATs²

4/65

In a multi-academy trust, a single trust is responsible for a number of academies. The MAT consists of the members and the trustees.

Members

The members are akin to the shareholders of a company. They have ultimate control over the academy trust, with the ability to appoint some of the trustees and the right to amend the trust's articles of association.

Trustees

The trustees are responsible for the same three core governance functions performed by the governing body in a maintained school: setting the direction, holding the headteacher to account and ensuring financial probity. As charity trustees, they must also ensure that they are complying with charity law requirements. Academy trusts are charitable companies and the trustees are company directors and must comply with company law requirements. This may sound daunting, but, in reality, the duties are largely the same as those of a governor of a maintained school, such as regularly attending meetings, managing conflicts of interest, seeking advice from the academy's leadership team and ensuring the academy has appropriate procedures in place for reporting financial information.

The model articles state that the chair of the board of trustees will also be a member, thereby ensuring a link between the two layers. However, while trustees can also serve as members, the most effective governance models recognise that the members are responsible for holding the trustees to account. Some separation between those serving as trustees and those serving as members is, therefore, desirable for achieving robust accountability.

Local governors

Individuals who sit on local governing bodies (LGBs) are referred to as 'local governors'. This is because trustees can delegate governance functions to the local level. Trustees have complete discretion over what is delegated to each LGB. They may, for example, decide to delegate all functions to academies in the chain that are performing well and only a few to those academies that need greater support. Alternatively, where a MAT wishes to retain all governance functions centrally, it may establish an advisory body at the school level, which has no formal governance function but which advises the board of trustees on its decisions.

² Information correct as of April 2014. Refer to [Trustee, Chair and Governor's Handbook](#) for current information.

The details of what has been delegated from the trustees to local governors should be detailed in a scheme of delegation for each LGB. This should make it clear what functions the trustees have delegated to the LGB and for which academies. It is important to note that local governors are not trustees of the academy trust, unless they also sit on the academy trust board.

Everyone involved in the MAT governance arrangements should ensure that they understand what their role is. This should be clear from the scheme of delegation. It should be noted, however, that even where trustees have delegated functions to local governors, the trustees remain accountable and responsible for these functions. Trustees should, therefore, be satisfied about the LGB's ability to adequately perform any functions delegated to them.

It is understood that the Department for Education is considering using the next version of the funding agreement and model articles to give MATs even greater flexibility in their governance arrangements. This would allow a MAT to establish an LGB that is responsible for more than one academy. The DfE also intends to remove the current requirement that, where an academy does not have a LGB, it must have an advisory body. This would be replaced with a more general requirement that the governance of each academy must be informed by local intelligence. This will shift the focus away from prescribing structures to focusing on outcomes, leaving the MAT free to decide what mechanism would work best for each academy in the chain.

The role of trustees and local governors in MATs

6/65

In his speech to the 2013 National Governors' Association Summer conference, Schools Minister Lord Nash recommended that more should be done to attract highly talented and committed people to volunteer as school governors and academy trustees. He called for all schools to have a dynamic board akin to the board of company or charity, focused on its core strategic functions. He described governors and trustees as engaged and energetic non-executive leaders who:

- are driven by their core strategic functions of setting the vision, holding the headteacher to account for results and making sure money is well spent
- sit on boards that are no bigger than they have to be
- are curious about what's going on in the classroom and aren't afraid to innovate
- focus ruthlessly on what really matters: raising standards

The chairs of governors and headteachers interviewed for the case studies and accounts of practice in this publication confirmed the importance of recruiting and selecting high-calibre governors who are able to adopt a strategic view of the trust as a whole, as well as the individual schools within it. Business, legal and financial skills and understanding were almost unanimously regarded as a necessity for the role of chair of governors.

In their role as trustees, the chairs of governors felt they had increased responsibility and accountability and needed more time and stamina to fulfil their roles. The roles and responsibilities of chairs of local governing bodies varied across the case studies, with some chairs of governors maintaining a more traditional role, with high levels of autonomy and responsibility for budgets, staffing and health and safety.

For others, the role had changed considerably and was focused specifically on monitoring data and the quality of teaching and learning. Where this occurred, the chairs of governors and headteachers did not see this as a loss of autonomy or power but, instead, as a positive change that enabled them to focus on improving standards rather than worrying about budgets and HR.

There was a strong feeling amongst the chairs of governors that working collaboratively was a major benefit of being part of a multi-academy trust. In the initial stages of the process of converting to a MAT, anxieties had arisen about where the power within the MAT would lie and what would happen to them as governors and to their roles and responsibilities; but it was clear, from speaking to the chairs of governors and headteachers, that these fears had been assuaged and that the many benefits of being part of a MAT were quickly becoming apparent and having a positive impact on their schools.

It is worth noting that governors should be very clear about what they can expect from their MAT. It may involve a potential loss of power, but, equally, it may also mean that schools within the MAT have their financial systems, corporate governance and legal issues managed for them. This, in turn, may mean they are free to focus on the core business of their pupils' attainment and progress.

Key governor skills and attributes

7/65

This section of the publication provides an overview of the skills and attributes that interviewees felt were key for effective governance. Many agreed that the changes to school organisation and the increasing levels of accountability and responsibility required high-calibre trustees (and local governors) with specific skills and attributes, who were able to lead school improvement and develop dynamic boards of trustees.

Trustees are not expected to possess all of these skills and the list is not intended to be used as a definitive list but, rather, as a starting point for consideration and further exploration. Trustees are invited to use the list of skills and attributes outlined below in a variety of ways, for example:

- for personal reading and reference
- as a starting point for the development of a skills-based set of criteria for governor selection and recruitment
- to contribute to self-assessment and self-evaluation
- as a resource for governor training

Trustees should have the skills and attributes to:

- constantly focus on what's best for the school and pupils by challenging in a constructive manner, asking probing questions and visualising the strategic picture, in terms of both the MAT and the academies within it
- understand and effectively carry out their roles, responsibilities and accountabilities, with the ability to take risks and consider dynamic and innovative options
- measure and lead school improvement and drive the necessary changes
- understand the financial and the business elements of leading a MAT, as well as the legal aspects of the role and how the trust and the business work
- work as part of a team and accept shared responsibility and accountability, as well as undertaking frequent self-evaluation in order to remain effective
- act with a strong moral purpose, integrity and honesty, and as an advocate for the MAT's values, ethos and philosophy
- express disagreement in a rational and professional manner
- adopt an entrepreneurial mind-set in order to see and make the most of opportunities that are outside the day-to-day practices of the MAT or academy
- be innovative, creative and open-minded by engaging in futures thinking and 'horizon scanning'
- ensure that they have the commitment and stamina to drive forward the MAT, as well as the will to abandon the 'good' in order to find the 'outstanding'

Key questions that governors in maintained schools should ask

8/65

The following questions have been collated from the case studies and accounts of practice, and offer a starting point for governors in maintained schools who might be considering establishing a multi-academy trust or joining one. We hope you find them helpful and a starting point for creating your own list of key questions. It is possible to use the same questions at different stages in the development of a MAT. For example, at the start of the process, governors might ask the question, “How will it influence local links and our community work?” Once the MAT has been established, trustees can then revisit the question and ask, “How is it influencing our local links and our community work?” The same applies for schools that are considering becoming part of a MAT.

Other ways in which the questions could be used include:

- for personal reading and reflection
 - to support research and investigation at the start of the process
 - as a resource for themed working party groups
 - as a checklist
 - to inform the development of success criteria
1. What do we wish to achieve by this process? What will be the benefits for our pupils and the school, and what will be the implications for staff arising from the changes?
 2. How will these changes influence, impact and improve our levels of achievement and the quality of teaching and learning?
 3. What will the financial implications be?
 4. What powers, responsibilities and accountabilities will we have after the changes?
 5. Which organisations can we talk to, visit or ask to visit us in order to discuss their experiences, the support they provided or received, and the resources available to them?
 6. Do we have confidence in the educational experience and track record of the sponsor or school, and does it have the core competence to deliver successful school improvement and make a difference?
 7. What is it that drives the MAT or school? What is the ‘stamp in their stick of rock’ and does it match our values, vision, ethos and philosophy?
 8. Does our governing body have the necessary culture of challenge and eye for detail needed to take on these changes? If not, what options are available to us?
 9. Has the MAT or the DfE broker explained, in detail, exactly what it will mean for us, and have they explained all the terminology?
 10. What benefits will there be in terms of our reputation and the community?

Seven signposts to success

9/65

These signposts provide seven key criteria that governors in maintained schools need to think about if their school is considering becoming a MAT or joining a MAT.

1. Understand how joining a MAT will impact governance at the school level.
Will your governing body become an advisory body or an LGB and, if the latter, what range of governance functions will be delegated to it?
2. Ensure that you are clear about the ethos and philosophy of the MAT and what the process entails, and constantly focus on how it is going to be better for the children and improve teaching and learning.
3. Gather as much information as you can from the sources available to you, including other MATs, the DfE website and broker, the National Governors' Association (NGA), Freedom and Autonomy for Schools – National Association (FASNA), the Independent Academies Association (IAA), NCTL and the web.
4. Ensure that the trustees possess the necessary skills and attributes to carry out their roles effectively, and that they are clear about their accountabilities, responsibilities and the amount of time, commitment and determination needed to carry out the changes required to become a MAT.
5. Consider appointing someone to manage the project, to ensure that it remains on track and adheres to your original aims and objectives.
6. Make your vision clear and understood to as many people as possible and encourage them to discuss, question and engage with you throughout the transitional period.
7. During the conversion phase, as chair of governors, ensure that you lead the process and are prepared to challenge in a constructive way, and that you clarify the governance, structure, roles and responsibilities.

Case studies

10/65

This section of the publication sets out three case studies illustrating the process that schools have gone through as they establish or join a MAT.

The case studies explore the challenges that governors have faced and the benefits that are beginning to be seen. In particular, they examine the skills and attributes that governors and chairs of governors need in order to effectively lead a MAT, and the questions that governors need to consider. Each case study also offers a number of top tips. We hope you find them helpful.

They all cover the following topics:

1. Context
2. Why a MAT?
3. Governance structure
4. The role of governors
5. Challenges and barriers
6. Support structures
7. Governor skills and attributes
8. Questions that governors should ask
9. Impact and benefits
10. Top tips

The case studies can be used by governors and school leaders in a variety of ways, for example:

- for personal reading and reflection
- as a resource for governor training
- for discussions around specific sections or case studies with working parties, small governor groups or full governing bodies
- by using the 'Governor skills and attributes' sections as a starting point for the development of a skills-based set of criteria for governor selection and recruitment
- by using the 'Questions that governors should ask' sections to support research and the development of themed working parties, or as a checklist
- by offering solutions and suggestions that can be explored in relation to your own context

Case study 1: The Collaborative Academies Trust

1. Context

The Collaborative Academies Trust (CAT) is a growing multi-academy trust for primary, secondary and special schools. The trust itself is sponsored by EdisonLearning UK. Schools joining the trust connect to a wide family of other schools and partners from the UK, USA, the Middle East and China, all sharing similar core values and a collaborative approach to learning.

The Collaborative Academies Trust website

In late 2011, two Northampton primary schools and a secondary school approached EdisonLearning UK, (which was already working with 30 schools in Northampton), and asked them if they would consider establishing a MAT. The schools felt the ethos and values of the organisation were closely aligned with their own, and that EdisonLearning UK's strong track record of school improvement would make it an ideal sponsor. As a private company, EdisonLearning UK was not permitted to set up a MAT but, instead, became chief sponsor of The Collaborative Academies Trust.

The trust was incorporated in August 2012 and the three Northampton schools joined the trust in November 2012, with three Somerset primaries converting in April 2013 and a fourth due to convert in January 2014. The trust also includes a new-build primary, which is due to open in Somerset in September 2014. The schools have continued to work with their own local networks and other schools in the trust, as well as with a wider international network of EdisonLearning schools.

Kevin Crossley is the chief education and operations officer of The Collaborative Academies Trust, and Tim Nash, managing director of EdisonLearning UK, is a member director of the trust.

2. Why a MAT?

Margaret Riley, the chair of governors at Spring Lane Primary School in Northampton and an academy director, and Claire Hepher, headteacher at Priorswood Primary School in Taunton, Somerset, explained how and why their schools became part of The Collaborative Academies Trust.

Spring Lane Primary School, Northampton

The process began in 2011 when the school, a one-form entry in a deprived area of central Northampton, and with results fluctuating from year to year, was invited to take academy status by the DfE. The local authority put the school in touch with a DfE broker, who visited the school to offer support. He told them that, because the school had had good results in 2010, they would be offered a choice of sponsor.

Margaret explained that the announcement prompted a range of responses, including shock and disbelief. The school was fortunate, however, in that it had a long-standing headteacher who had maintained his passion and enthusiasm for education. It was ultimately agreed that there was little point in fighting the decision, but rather, that they should focus their energies on seeking out the most appropriate sponsor for their school and children.

The governors developed a grid of criteria based on the school's context and values, as well as the benefits and impact that different sponsors would bring. A key criterion for them was the ability to maintain some ownership of the process.

A number of organisations presented to them, including The Collaborative Academies Trust, which was in the early stages of its development. The CAT presentation was closely aligned with the school's philosophy, values and vision. Importantly, CAT reassured them that the process would be collaborative and based on a close working partnership.

A series of informal meetings and question-and-answer sessions were held at the school, which were fully supported by CAT. Parents were invited to early morning tea and toast sessions, which were used as a vehicle to share information and updates. Regular letters were also sent to parents, while evening drop-in sessions were offered for working parents.

The headteacher and Margaret assured the unions, staff, parents and governors that "every step of the way, you will know what is happening". It was a priority for both of them to make sure they were honest and open throughout the process.

The fact that the school had previously worked with EdisonLearning UK meant there were few issues from staff; the school, nevertheless, created an email procedure allowing staff to raise any questions or concerns anonymously, and held regular meetings to alleviate any potential fears or concerns. Union representatives were also able to meet with staff privately, if requested.

Interestingly, the unions commented that this conversion had been one of the "least bumpy rides", and that staff were already on-side and positive about the changes when the process began.

The school converted quickly and joined CAT in November 2012. From the outset, EdisonLearning UK and CAT have given the school a great deal of time and attention, and have been keen to ensure continued governor involvement and communication. They appointed an adviser to the school, Chris Hilliard, who makes regular visits, attends governor meetings and talks through any school-based issues. He is seen as "someone who is there for us".

It has been about changing and learning to work for new masters at the end of the day, but it feels like we are part of a family of schools: the CAT family of schools. It is very much a two-way process.

Margaret Riley

Priorswood Primary School, Taunton

On 1 September 2011, Claire Hepher was appointed headteacher at Priorswood Primary School in Taunton, Somerset. On 23 September 2011, the school went into special measures and an interim executive board (IEB) was set up to replace the existing governing body. Once a decision had been made to take academy status, a number of organisations presented to the school, including The Collaborative Academies Trust. Kevin Crossley came to speak to the school and shared The CAT model. Claire had previously attended an EdisonLearning UK workshop entitled 'A quality framework for learning and teaching', which had resonated strongly with her personal and professional beliefs. The CAT values and ethos were closely aligned with the school's own values and ethos. CAT therefore recognised and understood the journey the school had been on and was able to demonstrate to Claire how it would build on and contribute to the work the school was already doing. For Claire, it was also a chance to work collaboratively.

Simon Peck, who at the time was chair of the IEB, explained:

At Priorswood, they were looking for an overarching body with consistency across more than one school. Equally, the ethos and values that an organisation could offer them was important. They were also keen to be able to retain the best elements of local authority practice. Similarly, they were seeking to avoid some of the more fragmented aspects of the local authority system.

Kevin Crossley believes that:

A multi-academy trust offers a natural group of partners with shared accountability and shared vision and values, and it provides a clear structure and purpose for the schools within it. It also offers opportunities for collaboration – the thing which holds everything together.

As an external sponsor, EdisonLearning UK aims to be open and honest about the advantages of being chief sponsor of CAT. Essentially, the MAT enables it to demonstrate that it is possible for a business to have an altruistic approach to education, which is reflected in the fact that EdisonLearning UK has donated all its intellectual property rights to CAT and – through a tripartite agreement between CAT, the DfE and EdisonLearning UK – the company cannot profit in any way from its involvement in the Collaborative Academies Trust.

At the same time, the MAT gives EdisonLearning UK the opportunity to develop and access a huge evidence and research base which, in turn, enables it to develop and trial educational resources and materials. The MAT also offers EdisonLearning UK greater opportunities to contribute to government policy than if it were operating on its own.

3. Governance structure

Appendix 1: CAT governance structure

- Local governing body
- Board of directors
- Members/trustees

4. The role of governors

The high degree of earned autonomy and collaboration within The Collaborative Academies Trust allows schools to determine their own governance structure (albeit within a guidance framework and subject to approval by the CAT board of directors). The Northampton schools, for example, wanted to adopt a more traditional governance structure, while Claire Hepher, from Priorswood Primary in Somerset, adopted the interim executive board model, which is much smaller and operates without subcommittees. The CAT is now working with schools to decide an overall model for the trust.

Once Priorswood Primary had become an academy, the interim executive board selected and trained the new local governing body and shadowed it until it was confident that the LGB could govern effectively on its own. As part of the recruitment process, the IEB considered the specific skills that would be required by the LGB, and used local links and connections to hand pick governors.

The new local governing body of Priorswood has no subcommittees but focuses developmentally on the five strands of the EdisonLearning UK Design for School Improvement, whilst also ensuring that the more usual governance matters are covered through regular meetings of the smaller governing body. Members of the senior leadership team have the role of key lead for each of the five strands, and two or three governors are matched to each of the key leads or strands. Regular meetings are held between key leads and governors, who monitor and check progress and developments. Written reports and feedback are also submitted at governors' meetings.

Initially, the IEB held fortnightly meetings at 10am rather than in the evening. These worked well and ensured that the meetings were streamlined, focused and effective. The meetings then became monthly, and were then finally held about once or twice a half-term. This approach has been adopted by the Priorswood local governing body, which holds 10 meetings a year, between 4pm and 6pm.

When Spring Lane Primary became a CAT academy, it also offered the school the opportunity to restructure its governing body, to review its way of working, and consider the skills and attributes that governors would need. The review and restructure led to a small number of governors leaving amicably. Margaret Riley believes there is a need to deselect and reselect governors when schools become academies as it enables the school to:

- review, explore and agree the new governance rationale
- agree the code of conduct and terms of reference
- make decisions about key roles and responsibilities
- develop a charter based on ways of working

Like most effective governing bodies, a CAT local governing body is expected to set the strategic direction of the academy, be successfully focused on raising standards and have an accurate overview of how well pupils are achieving in relation to their potential and other schools. Governors are also expected to be confident in providing high levels of professional challenge and playing a significant role in the school's leadership.

For Margaret Riley, her role in school is very much the traditional role of leading the governing body, maintaining an overview of the school (including a strong focus on teaching and learning), data analysis and having an oversight of the school's finances and HR. She is also accountable to the directors of the trust. In her role as a director, Margaret is far more strategic, with a focus on the trust as a whole and with lines of accountability to its members.

Kevin Crossley points out that the directors' roles and experience vary across the board and include finance, legal issues and the overall vision for the trust.

The MAT operates the following graduated delegation structure for governing bodies, depending on their Ofsted category:

- A supported school is a sponsored academy in Ofsted category 4.
- A transitional school requires improvement but is beginning to develop Ofsted category 3.
- A good or outstanding school requires only a light touch. These are the only schools whose headteachers can be members of the board of directors.

High levels of autonomy within and across CAT are matched by high levels of accountability. Strong support and strong accountability go hand in hand. If an issue occurs or an area of weakness is identified, CAT is quick to provide support and challenge, and will work with schools and governors to find a solution that is right for them.

I know that The Collaborative Academies Trust will hold me accountable if they need to do [so]. But, equally, I feel empowered.

Claire Hepher

The multi-academy trust offers considerable support to local governing bodies and provides training to assist governors in meeting expectations. The training includes:

- an audit of the governing body
- analysis
- action planning
- identification of governors' training needs

The trust also employs Chris Hilliard and Simon Peck as CAT associates, who support governing bodies in their regions. Chris and Simon support the development of good governance across the trust by identifying and developing training and materials. They also support the development and delegation to committees, and attending governor meetings, as well as liaising with The Collaborative Academies Trust to advise on any actions required.

Every CAT school also has a school improvement partner, employed through the CAT, who offers a further degree of support and accountability.

The CAT website (<http://collaborativeacademiestrust.org/about-cat/governance/>) offers a number of useful papers relating to the role of governors, including 'The role of the local governing body', 'Supporting governance' and 'Twenty key questions for a school governing body to ask itself'. The trust is also developing a Quality Framework for Effective Governance.

5. Challenges and barriers

Margaret Riley and Claire Hepher both felt that CAT offered them excellent support throughout the process. At Spring Lane, there were a number of problematic legal and financial issues but, according to Margaret, "CAT handled these for the school and worked with them to solve the issues."

Initial discussions at Priorswood brought to light ideological differences between governors, and a further challenge for Priorswood was the length of time it took from the school going into special measures to the school becoming an academy.

6. Support structures

For Margaret and Claire, the main forms of support involved talking to other colleagues who had been through the same process and visiting other academies and trusts.

Considering local and national options was also important, as was finding out as much as they could through web research – looking at the DfE website and governor websites (such as the NGA), along with National College-commissioned research (for example, the PricewaterhouseCoopers report 'Academies: research into the leadership of sponsored and converting academies').

Governors must go out and look and find out from others what the options are and what is going to work best for you.

Margaret Riley

7. Governor skills and attributes

Claire Hepher suggests a higher calibre of governor is called for to deal with the need for increasing accountability and for governors to be strategic in terms of both the academy and the MAT. She also feels that governors need to be able to dig deep, ask probing questions and have the confidence to challenge. Essential skills include an ability to analyse data and measure school improvement, and to be able to work as part of a team and accept shared responsibility and accountability. Claire also feels it is important for governors to be advocates of the academy model and to buy into the values, ethos and philosophy of both the school and the trust.

Governors often talk about what they will do and how they will do it, but not enough about why, which links into the values and vision of the school. Governors should be able to understand the values of the school and be committed to living those values.

Kevin Crossley

For Claire, governors from different backgrounds will bring different perspectives, which, in turn, will help to bring focus and strength to the governing body.

Kevin Crossley believes that governors' skills should, increasingly, include financial acumen and an ability to interrogate data. He describes governors as the most willing of people, who act as custodians and, as such, should be paid and be part of the leadership of the school.

8. Questions that governors should ask

- Is finance or education driving this decision? (Always ensure it is education.)
- How will standards and education improve as a result of these changes?
- Do you have the necessary time and capacity for these changes to happen and be successful?
- Do you have confidence in the educational experience and track record of the organisation or MAT you are considering becoming part of? Does it have the core competence to deliver successful school improvement and make a difference?
- What is it that drives the MAT? What is the 'stamp in their stick of rock' and does it match your values, vision, ethos and philosophy?

9. Impact and benefits

As a sponsor, CAT aims to provide a wealth of experience and expertise in school improvement. It offers trust schools a range of benefits, including support with financial issues, benefits linked to economies of scale – for example, the option to buy into shared services – and the expertise of legal advisers. EdisonLearning UK also makes sure that both local and central people are available to offer support and advice to schools within the MAT.

It is clear from speaking to people within the MAT that this support structure and the levels of expertise available make a significant difference to headteachers and chairs of governors, in that it enables them to focus on teaching and learning rather than having to worry about financial and legal matters.

As Margaret Riley puts it:

It has enabled the headteacher to maintain a strong focus on teaching and learning. The CAT is hands-off in the sense of not dictating everything to the school and headteacher; but they are hands-on in a supportive way.

For Claire Hepher, the strong focus on collaboration within the MAT has given her and her staff and governors the opportunity to learn and share good practice in a number of ways as follows:

- Shared key lead days are organised, where governors and key leaders come together to explore aspects of best practice.
- Achievement teams collaborate on specific learning issues and agree solutions and future action, which is then trialled and tested back in school. The results are then shared at the next meeting, with any unresolved issues noted and referred appropriately.

- The Quality Framework for Learning and Teaching provides a common language for teachers to talk about their practice.
- Headteacher support is available, including collaboration with like-minded individuals and networking, and the chance to develop distributed leadership throughout the school by empowering middle and senior leaders.

Children within the MAT are also encouraged to work collaboratively. For example, school councils have come together to work on the development of student pledges, such as improved parent and child voice. Students also undertake joint learning walks in school.

As well as the high levels of collaboration and support offered by CAT, schools are given the opportunity to earn a high degree of autonomy to do things their own way. EdisonLearning UK has a vast range of evidence-based educational learning resources that schools can use; and CAT schools are able to use these free of charge, but the schools are not automatically expected to use them. Similarly, schools are not expected to use EdisonLearning UK consultants. When one of the schools within the MAT had specific problems with the teaching of Maths, it was agreed that an external consultant would better meet their needs. Schools are also allowed to choose their own staffing structures, roles and titles in consultation with the trust.

The Collaborative Academies Trust certainly has no desire to take over the strategic function and direction of the schools. Instead, it offers schools effective support and high levels of school improvement expertise within a nurturing and truly collaborative, yet autonomous, environment. It offers consistency of approach, strong vision and values, and a robust framework of accountability, as well as an aspiration for all of its schools to be outstanding and not accept the status quo.

As the CAT website says:

We believe in a concept of ‘collaborative autonomy’ – schools working together with common aims under a common banner they all believe in but retaining a sense of autonomy and uniqueness.

10. Top tips

1. Think about 'why' first and then about the 'how' and the 'what'.
2. You may not always be able to rely on your local authority in the future, as they may not have the capacity to support you, so you must find good partners that can work with you.
3. Remember that small changes can enthuse people, so plan for some small, easy-to-establish and positive changes. You can then work on the bigger things together.
4. Gain as much information as possible from different sources, so you can make informed choices and decisions.
5. As a governor, make sure you take a full part in the leadership of the school and that you are not just rubber-stamping decisions made by others.
6. Be rigorous about monitoring and challenging, and don't be afraid to take risks.
7. Be clear about the governing body's remit and your role.
8. Make sure you stay focused on achievement and what is best for the children.
9. Engage positively and don't fight against it. Take ownership and make it yours – otherwise it will happen to you.
10. Revisit why you are a governor: is it about children being at the heart of everything? Consider this carefully when looking at options.

Interviews for this case study were conducted with the following:

- Kevin Crossley, chief education and operations officer, The Collaborative Academies Trust
- Claire Hepher, headteacher, Priorswood Primary School
- Chris Hilliard and Simon Peck, consultants, The Collaborative Academies Trust
- Tim Nash, director, EdisonLearning UK
- Margaret Riley, chair of governors, Spring Lane Primary School, and governor representative on the MAT board of directors

Case study 2: Fylde Coast Academy Trust

1. Context

When the concept of national teaching schools was first announced in the 2010 schools white paper, 'The Importance of Teaching', Blackpool Sixth Form College (BSFC), a National Challenge partner and rated as 'outstanding' by Ofsted in 2009, was immediately interested. It offered schools a leading role in the training and professional development of teachers, support staff and headteachers, as well as contributing to the raising of standards through school-to-school support. Recruiting good teachers to the Fylde coast was difficult, and the ability to grow and retain its own teachers was an attractive proposition. At the same time, the educational standards of many of the schools that fed into Blackpool Sixth Form College were poor and, as a result, large numbers of students were not eligible to attend the college. National teaching school status would enable the college to address these issues and open up access for many more students.

The initial selection and designation of national teaching schools did not include sixth form colleges. Therefore, in order for BSFC to achieve teaching school status, it needed to form a partnership with an outstanding secondary school. Hodgson High School, a local outstanding secondary school in the process of converting to an academy, was already involved in the Raising Attainment Partnership Programme (RAPP) and designated an advanced consultant school by the Specialist Schools and Academies Trust (SSAT). It invited Blackpool Sixth Form College to bid jointly to become a national teaching school.

The teaching school needed to be a distinct legal entity. To this end, a company limited by guarantee was formed, called Fylde Coast Teaching School (FCTS) Limited. It had two members: BSFC and Hodgson Academy. The members appointed directors, who were the principal and chair of governors of each member. The chairs of governors were both experienced businessmen – who between them were professionally qualified in banking, accounting and financial services – which provided a good balance for the academic and educational skills of the two principals.

Shortly afterwards, the Department for Education approached Fylde Coast Teaching School to ask whether it would consider sponsoring schools that had been asked to take academy status and, in doing so, continue to improve the quality of teaching and learning, and educational standards across the Fylde coast area. The Fylde Coast Teaching School was neither a school nor a trust, and did not have the appropriate legal status to take on such a role. Following discussions with the DfE and agreement by the governors of both schools, a new multi-academy trust, the Fylde Coast Academy Trust (FCAT), was formed. FCAT is a company limited by guarantee and its chief sponsor and primary member is FCTS. The other initial members are the principal and chairs of governors of Blackpool Sixth Form College and Hodgson Academy. The members appointed a board of directors comprising the principals and chairs of BSFC and Hodgson Academy, the director of children's services of Blackpool Council, the executive principal of Unity Academy and the chair of Unity Academy Council.

Unity Academy, a 3–16 year school, became FCAT's first sponsored academy on 1 September 2013. FCAT has delegated some of its responsibilities for Unity Academy to a local governing body – the academy council – via a formal scheme of delegation. FCAT appoints the members of the academy council, who are called governors.

Two high schools in Blackpool, Collegiate and Bispham High, have merged to form a single school on the Collegiate site. The new school will become an academy, sponsored by FCAT, on 1 September 2014.

For Iris Nugent, the chair of governors at Unity Academy, the process from being told that the school would need to take academy status until Unity joined FCAT took two years. The overriding concern amongst school governors, staff and parents was that an external sponsor from outside the area would be drafted in to take over. The response from governors was mixed, and many of the long-standing governors were reluctant to accept that things had to change. After many meetings and some resignations, a majority of the governors voted to proceed.

FCAT was suggested to the Unity governors as a potential sponsor, and Felicity Greeves, the principal of Blackpool Sixth Form College and a member and director of FCAT, and Tony Nicholson, the executive principal of Hodgson Academy and a member and director of FCAT, presented at a governors' meeting. They explained they were planning to establish a multi-academy trust, how it would develop and the process that they needed to go through. Their honesty and openness impressed Iris and the governors and, according to Iris, it was clear from their presentation that they were very education-minded, not driven by profit and that they put the interests of the students first. FCAT also had a strong track record of school improvement and school-to-school support. Importantly, they were local and already knew many of the children from the Fylde coast and the crucial issues in the area. As a result, Unity decided that its choice of sponsor would be FCAT.

Appendix 2: FCAT teaching school business and governance arrangements

2. Why a MAT?

A strong moral purpose and an aspiration to improve the quality of teaching and learning within the Fylde coast area drive the work of the trust. These were significant factors for both BSFC and Hodgson Academy in deciding to become a MAT.

The educational standards of many of the schools that fed into Blackpool Sixth Form College were poor. As a result, large numbers of students were not eligible to attend the college. A key driver for Felicity Greeves was to change this situation and open up access for students to achieve. The desire to maintain the sixth form college's Ofsted rating by learning from and working with other schools – in particular, Hodgson Academy – was equally important to Felicity.

A MAT offered greater autonomy for both the sponsor schools and the schools they would be sponsoring.

For John Boyle, the chair of governors at BSFC and a member and director of the MAT, the opportunity to retain good staff who might otherwise move on, and to grow their own leaders and establish a succession planning programme, was a strong incentive to seek MAT status.

Felicity Greeves, principal of Blackpool Sixth Form College, has very much been the driving force behind these developments and establishing a MAT was a way of keeping her.

John Boyle

Tim Freeman, co-director of the Fylde Coast Teaching School Alliance, viewed the development of a MAT as a way of influencing a much wider network of schools and allowing the teaching school alliance to reach more people and use its resources to support more schools. However, Tim had some reservations about the relationship between the MAT and the teaching school alliance.

As a teaching school alliance, each school within it has equality. If they choose to join a MAT, then they might be viewed as subordinate.

On the other hand, Tim felt that the MAT would probably be the vehicle to bring everything together and build on the existing strong partnerships and networks.

For Iris Nugent, the key reason for joining FCAT was “to keep it local and make sure that things were done with us rather than to us”.

3. Governance structure

Appendix 3: FCAT governance structure

3.1 Academy council (local governing body)

- executive principal of Unity
- principal of Unity
- up to 8 sponsor governors
- 2 staff governors
- 2 parent governors

3.2 Board of directors

- up to 12 sponsor directors
- up to 3 chairs of academy councils
- director of children's services, Blackpool Council

3.3 Members/trustees

- sponsor of FCAT – Fylde Coast Teaching School Limited
- principals and chairs of governors of Blackpool Sixth Form College and Hodgson Academy

4. The role of governors

Governance is a major issue for the multi-academy trust. Getting the right people to become governors is key.

You need high-calibre governors who can take a strategic view of the MAT and the schools within it. Too often, governors are focused on management issues and what they know and are comfortable with, and they don't focus enough on the strategic issues. Governors will have to come out of their comfort zones for these new roles with a MAT.

Felicity Greeves

A significant advantage when setting up the MAT was the fact that the governors of both Blackpool Sixth Form College and Hodgson Academy had already been through the process of establishing a teaching school alliance. This had resulted in a number of substantial changes and raised and addressed many of the questions that would have been posed in relation to becoming a MAT. The fact that the governors and, in particular, the chairs of governors have a very good understanding of the education sector and the business world was also an advantage.

When Unity became a sponsored academy, the governing body was deselected and the governors were required to reapply for their posts. The application process was rigorous, with governors completing a six-page application form and being interviewed by five different people. According to Iris Nugent, this was exactly what was needed. The process ensured that the MAT and Unity had the right people in place, with the stamina, skills and dedication to drive the expectations, and achieve the changes and results required.

John Boyle says governors should be clear about their roles. He suggests that current training needs to be reviewed in the light of these changes, and governors' roles reconceptualised. According to John, good corporate governance is required and this, in itself, is a goal for governors to strive for.

We measure our profit by educational outcomes. As a limited company, a corporate structure needs to be applied to the running of a MAT.

John Boyle

Tim Freeman also believes that effective training is key to supporting governors and ensuring consistency of approach and role. Tim suggests a standardised best practice model of training, where everyone who becomes a governor undertakes the same basic training that is relevant and specific to their role and organisation. For Tim, it isn't just about the calibre of the governors recruited; it is about how they are trained to carry out their roles in an ever-expanding corporate, accountable and strategic environment.

A governing body should be a formidable group of people who are experts in their own right, who can ask questions about education in a non-educational way.

Tim Freeman

The specific responsibilities and authorities of members, directors and academy councils within FCAT can be found in *Appendix 4*.

5. Challenges and barriers

The main concerns raised by Hodgson Academy governors focused on the school's capacity and ability to maintain its 'outstanding' Ofsted rating and its high levels of performance. The chair of governors and the headteacher were able to use the school-to-school work that Hodgson Academy had already undertaken to alleviate these concerns and to point out the potential benefits of becoming a MAT; for example, the opportunity to learn from Blackpool Sixth Form College, as well as from the schools they were supporting.

For Iris Nugent, the greatest challenge at Unity was the initial reaction of some of the governors and the continued refusal by a small minority to sign the relevant papers. With hindsight, Iris believes a number of things would have helped, including:

- talking to other governors who had been through a similar process
- making better use of the national network of governors
- having a fuller idea of what the other options were

We didn't even know what a sponsor was. Some governors thought about it like a football sponsor who comes in and then withdraws and leaves the club in debt.

Iris Nugent

For Amanda Pickup, the director of finance and personnel at Blackpool Sixth Form College, establishing a multi-academy trust with two schools is more complicated; it is vital that the two principals work well together and achieve a balance between them in terms of power and accountability. Managing relationships is unique to every MAT, but must always be a priority.

In the early stages of the conversion to MAT status, Amanda was brought in to establish the limited company and deal with solicitors and the setting up of accountancy systems. The job eventually became too much to carry out alongside the normal day-to-day work at the college, and a financial administrator was, therefore, appointed to work solely for the MAT.

6. Support structures

A strong and confident chair of governors with a corporate background helped both schools lead their governing bodies through the process of becoming a MAT. A financial administrator who worked solely for the MAT and the schools that it sponsors ensured the level of detail and support required throughout the conversion process and beyond.

7. Governor skills and attributes

Blackpool Sixth Form College has created a skills matrix for its governing body that sets out the skills required to be an effective governor. Governors are not expected to demonstrate competence in all of the areas. The purpose of the matrix is to identify which areas of expertise a governor may bring to the academy council. These areas of expertise include leadership and management, safeguarding, accountancy and audit, and curriculum design and assessment. A copy of the skills matrix can be found in *Appendix 5*.

The college also used an external agency to undertake an assessment of its governors' appetite for taking risk. This was considered an important attribute, essential for a governing body that was forward-thinking and constantly seeking to improve and develop.

Although not part of the MAT, the college also has a 'search committee', which is separate from the governing body and has the job of searching for future governors, reviewing training on an annual or termly basis, and having an overview of which governors sit on which committees and the length of time they have served on those committees.

For Felicity Greeves, a good governor needs to understand exactly what their roles and responsibilities are, as well as the roles and responsibilities of others. Similarly, they need to be able to distinguish between a business and an organisation, and have both the time and the commitment required to fulfil that role.

Iris Nugent suggests that governors need to be able to voice concerns, to challenge and ask 'why' at both board level and academy council level.

If you disagree – and you should at times – then you need to know how to put forward your point of view; but you also need to be able to listen to other points of view as well.

Iris Nugent

Iris also believes you need a degree of simple common sense and the ability to work well in a team, as well as good business sense and financial skills. Good local knowledge is also important, but this needs to go hand in hand with the wider strategic view of the MAT and the schools that it sponsors.

8. Questions that governors should ask

- Has the MAT and/or the DfE broker explained, in detail, exactly what it will mean for us, and have they explained all the terminology?
- What will the financial implications be?
- How will these changes influence and impact on our standards and levels of achievement, and the quality of teaching and learning?
- What advantages and disadvantages will there be in terms of our reputation?
- Does our governing body have the necessary culture of challenge and eye for detail needed to take on these changes?

9. Impact and benefits

An extract from the Unity Academy website outlines some of the early benefits of being part of FCAT:

We are sponsored by the Fylde Coast Academies Trust and working together significant improvements are being achieved. High quality staff development, enrichment opportunities for our students and further investment into our school facilities has already been a result. The support of a local sponsor is something that we are confident will bring our young people greater chance of success and new opportunities and experiences.

The schools within FCAT will benefit from cost-effective services, the services of a school business manager and wide-ranging expertise, experience and resources. Ultimately, economies of scale from centralised services will enable the schools to channel the savings made back into school improvement.

The MAT has boosted opportunities for staff development and enabled the creation of new roles and responsibilities; and, in doing so, it has helped to retain good staff.

Iris Nugent feels the MAT has also provided stability and has taken the spotlight off the school so that it can concentrate on improving standards and teaching and learning. The school now has high-calibre governors. FCAT directors and members guide the trust and ensure that school improvement continues. The school feels that FCAT is “totally on our side” and “we can draw on FCAT resources and expertise. The ethos at Unity is already starting to change and we are seeing the benefits of being part of the FCAT.”

10. Top tips

1. During the conversion phase to become a MAT, make sure the chair of governors leads with the principal of the MAT and establishes the governance structure and roles and responsibilities.
2. If possible, be strong enough to create a skills-based board of directors and academy councils.
3. Engage in the full legal consultation process and be open and honest. Point out and make clear the benefits to be gained.
4. Most importantly, reassure people that the school is safe and that standards won't suffer or be allowed to slip.
5. Make sure you interrogate the lawyers working for you, ask probing questions and challenge them if necessary.
6. Consider appointing project managers to see you through the conversion process.
7. Appoint a business director or someone who focuses solely on the business side of the MAT.
8. Don't underestimate the scale of the task and make sure you are doing it for the right reasons.
9. Try to eliminate any misunderstandings by keeping the language simple and using jargon-free and plain English.
10. Ensure that everyone in the MAT and in the sponsored schools understands what being a MAT means. Don't assume they already know.

Interviews for this case study were conducted with the following:

- John Boyle, member and director of Fylde Coast Academy Trust and chair of governors at Blackpool Sixth Form College
- Tim Freeman, co-director of the Fylde Coast Teaching School Alliance
- Felicity Greeves, principal of Blackpool Sixth Form College and a member and director of Fylde Coast Academy Trust
- Tony Nicholson, executive principal of Hodgson Academy and a member and director of Fylde Coast Academy Trust
- Iris Nugent, chair of governors at Unity Academy and a director of Fylde Coast Academy Trust
- Amanda Pickup, director of finance and personnel at Blackpool Sixth Form College
- Emily Trotter, financial administrator of Fylde Coast Academy Trust

Case study 3: Steel City Schools Partnership

30/65

1. Context

The Multi-Academy Trust has been established to ensure a local, primary led partnership of schools with an ambition to work closely with other Academies and schools in both formal and informal arrangements. The Trust aims to provide a high quality learning and cultural environment that inspires and motivates children, staff and the wider community to engage in education and learning. The “To provide a first class, innovative education for all” philosophy drives policy, practice and governance in order to achieve this. Leadership development, succession planning and capacity building are also priorities for the Trust.

All 3 schools serve the Parson Cross/Fox Hill estates in the North of Sheffield and predominantly feed into Yewlands Technology College, also an Academy. The Family of Schools has extensive history of working collaboratively, in a number of areas including Leadership and Governance, SEN, Teaching and Learning and Science and has won national awards for its work.

Steel City Schools Partnership website

The Steel City Schools Partnership multi-academy trust was formed following a long-established partnership between local schools. It is led by Montenev Primary School. In 2006, Nicola Shipman, headteacher of Montenev Primary, which was also a national support school, worked two days a week as lead headteacher for Sheffield local authority. In May 2007, Nicola was asked to support and work with Fox Hill Primary School. In July of that year, Montenev Primary was rated ‘outstanding’ by Ofsted. In September 2007, Montenev and Fox Hill formed a learning partnership. In December 2007, Fox Hill had an Ofsted inspection and was given notice to improve.

In December 2009, the partnership between Fox Hill and Montenev was formalised by the establishment of a federation, with Nicola as executive headteacher. In 2011–12, the Department for Education invited Fox Hill and another local school, Mansel Primary, to take academy status or risk being taken over by an external sponsor. Nicola was approached by the local authority and asked to work with them to find a permanent and local solution. After considering various options, the decision was made to become a multi-academy trust, with Mansel and Fox Hill taking academy status and Montenev becoming the sponsor school. Consultations took place across all three schools between 2012 and 2013. In April 2013, MAT status was granted by the DfE. Nicola is now executive principal of the MAT, with a principal in each of the three schools.

Another school from Rotherham is also planning to join the MAT as a sponsored academy.

2. Why a MAT?

The fact that a federation already existed between Montenev Primary and Fox Hill Primary meant the schools were already used to working collaboratively and capitalising on the advantages of this approach, including opportunities to share best practice, financial benefits and increased staffing resources. A MAT model enabled them to build on these existing partnerships and continue their school-to-school support work, as well as increasing the economic benefits by introducing common payroll, HR, insurance and finance packages.

Montenev already had a history of highly effective leadership development and a proven track record of success that had resulted in positive outcomes and high standards. This could be shared and adopted across the MAT. The MAT model was seen as a way of continuing and extending this work, and also helped to retain key staff and nurture future leaders for both the system and individual schools.

The MAT model also offered the potential for the trust to remain local but to grow and expand. It enabled each of the schools within the MAT to keep its unique and individual character and maintain its own local governing body; and it allowed each of the principals a high degree of autonomy (in terms of leading their schools), whilst still abiding by the Steel City Schools Partnership ethos and philosophy.

The reason for becoming a multi-academy trust was because we wanted to keep the schools together and didn't want outsiders taking over and rebranding the schools. Parents of Mansel and Fox Hill are passionate about the schools and their community, and it had to be a local solution that kept them together.

Mark Priest, chair of governors at Montenev Primary
and a director and member of the trust

It was also very clear that all three schools have a strong moral purpose and believed that the MAT would:

...ensure that each and every pupil across the three schools receives high-quality teaching and learning experiences, and change the negative labels that have been associated with at least one of the two sponsored schools.

Mark Priest

3. Governance structure

3.1 Local governing body (LGB)

The smaller the better because it allows the governing body to be more focused on teaching and learning.

Nicola Shipman, executive principal

Each of the schools within the MAT has a maximum of nine governing body members, comprising:

- principal
- 2 staff governors (one of whom may be co-opted)
- 3 co-opted/community governors
- 3 parent governors

Parent governors can only apply to the school that their children attend and not to others within the MAT. Other governors can, however, move from school to school.

3.2 Board of directors

- executive principal
- business director
- chair of governors at Montenev (also a member/trustee)
- chair of governors at Fox Hill
- chair of governors at Mansel
- member/trustee

3.3 Members/trustees

- chair of governors at Montenev Primary school
- business executive from HSBC
- previous chair of governors

4. The role of governors

The trust is still working through the roles and terms of reference for the local governing body, but the model adopted is one where the LGB and the role of the chair of governors is focused specifically on the quality of teaching and learning and ensuring high standards. Therefore, responsibility for big-ticket items such as health and safety, HR, the budget and staffing sits with the directors at trust level. This leaves the principal free to maintain a rigorous focus on the quality of teaching and learning, without having to worry about the more traditional areas that headteachers are usually responsible for. When recruiting a principal, the brief was for a leader of learning and not a traditional headteacher. For Sarah Wallis, chair of governors at Fox Hill, this was one of the key reasons she took up the role of chair:

Because the pressure had gone and I was able to concentrate on teaching and learning rather than budgets and buildings and, at director level, I can enjoy the strategic role because the directors lead collectively and it's not just me.

From the principal's perspective, however, it means they have to be prepared to lose a little autonomy. The model also has implications for the role of chair of governors, as they represent the principal at director level and need to be able to act on their behalf and make strategic decisions about key factors and developments, such as finance and long-term strategy.

As a director, they (along with the other directors) have the collective power and responsibility to run the trust and effect change at all levels, including the business, systems, structures and processes. Directors are answerable to the members or trustees, who are seen as shareholders of the company. The members own the company, but they have delegated responsibility to the directors and to the LGB.

The governors of the schools within the MAT were required to reapply to become members of the LGB, and chairs of governors had to apply to become directors. As the trust expands, there will be a limit of five chairs of governors allowed to sit as directors.

Sarah Wallis, chair of governors at Fox Hill and a director of the trust, explained that her role has changed significantly:

My role has very much changed now that I am both a chair of governors and a director. As a director, it is much more about strategy and the bigger picture. My old role involved taking assemblies in the school and looking at specific subjects but now, the only thing I focus on as the chair of governors at Fox Hill is the quality of teaching and learning and analysing data. I am in school much more now, and I speak to the principal more now, and challenge and ask "why?" much more. There is also a strong leadership element in my new role and to think of myself as a leader is a challenge... but I'm getting there.

5. Challenges and barriers

Overall, the governors were very positive about becoming a multi-academy trust and, ultimately, it was their decision. In the early stages of the process, there was an understandable degree of anxiety amongst the governors due, in part, to the fact that there was limited information available and a lack of understanding about what the changes would mean.

As Morag, the business director, explained:

A MAT is not a business model, it's not an education model and it's not a charity model; but you use and reflect elements of all these models. It's like being the director of a medium-sized company.

One of the key challenges for governors was to understand the role of a MAT and what that role meant for governors, parents, children and families in the local community and at system level. There was also a need to understand the specific roles that would exist within the MAT, including the new LGB and chair of governors' roles, director and member/ trustee roles, as well as the roles of principal and executive principal. Governors needed to understand what it would mean to no longer be officially part of the local authority group of schools. Mark Priest, chair of governors at Montenev and a director and member of the trust, quickly realised.

The governors would need to come out from under their comfort blankets and do things for themselves once the local authority control and support disappeared.

Similarly, as well as understanding the implications for their own roles as governors, they needed to appreciate and understand any concerns that staff might have about the changes that were taking place. Although the staff were in favour of the changes, there were still concerns from staff at Montenev Primary about their ability to support other schools whilst still maintaining their own high standards. Fortunately, the successful school-to-school support work at Fox Hill demonstrated that it could be done.

6. Support structures

Support came from various sources, including:

- talking to other MAT principals and governors
- the National College for Teaching and Leadership
- web research

- the DfE website and broker
- links to local teaching schools and the teaching school network of schools
- formal and informal partnerships
- governor training opportunities, for example, 'Taking the chair' training
- data training provided in-house

7. Governor skills and attributes

Mark Priest believes that talent identification is key for governor recruitment and specific skills and attributes are required when searching for and selecting governors and chairs of governors.

First and foremost, governors need to be prepared to lead the process of becoming a MAT and have the ability to challenge, motivate, inspire, empower and support others. A combination of strong moral purpose, integrity, honesty and openness is essential.

The continuous focus on teaching and learning and high standards also requires governors (particularly chairs of governors) to be able to interpret data and monitor performance expertly.

Governors and directors need to be able to work collectively for the good of the MAT, and to have both the time and the stamina to successfully perform their roles.

Above all else, governors need the ability to stay focused and never lose track of why they are doing it.

Mark Priest

The MAT business director, Morag Somerville, believes that governors need to be incisive and prompt when making decisions, and have a much stronger focus on the strategic elements of their role and on performance levels within the MAT.

Executive principal Nicola Shipman agrees that governors need a mixed skill set, including good business acumen, excellent communication skills and an understanding of the legal aspects of the role so they can see how the trust and the business work. In addition, governors need to realise they can no longer rely on the headteacher or principal and, as directors, that they are equals. They also need to be able to keep their role as a parent separate from their role as a governor/chair of governors and director, and distinguish between director, parent, governor and chair of governor conversations.

8. Questions that governors should ask

- Why are we doing this and what do we want to achieve?
- What will be the benefits for the pupils and our school?
- What are the strengths and weaknesses of the current leadership and can that success be replicated across all schools?
- What implications will this have on staff and what are their biggest concerns likely to be, for example, job security, pensions and benefits?
- Have you considered and fully explored the responsibility and accountability issues? Are you clear about what will sit with you and what you will be asked to do?

9. Impact and benefits

Sarah Wallis has already seen positive improvements at Fox Hill Primary school, including greater community involvement, with parents actively supporting the changes and the emergence of a clearer identity and focus for the schools involved that didn't exist previously. The school has also benefited from the "Achievement for All" programme, which was introduced for parents whose children are underachieving. The school visits the children at home and encourages parents and children to lead the intervention programme by highlighting the issues and barriers they face.

For Mark Priest, one of the key benefits of the MAT model is that it leaves principals free to focus on teaching and learning. This has led to all teachers now knowing exactly where they are in terms of the quality and impact of the teaching and learning going on in their schools, and the provision of support and monitoring to improve any areas of weakness. There is also a leadership and learning hub, which is run in-house and which focuses on improving teachers' practice and moving everyone to 'outstanding'.

Other benefits that Mark is seeing include improved collaboration, with shared inset days and development meetings. The MAT also offers excellent continuing professional development (CPD) opportunities and options to create new roles. These, in turn, offer staff the opportunity to undertake secondments and experience new roles and responsibilities across the trust. This helps the MAT to retain good teachers and staff. These opportunities also contribute to the leadership development programme and succession planning work carried out by the trust.

The MAT has developed creative learning teams – involving governors, teachers and learning support assistants from across the trust – who work collectively to develop specific areas of learning.

The MAT also draws on the collective knowledge of the community, sharing resources, knowledge and expertise. Transitions for children who move between the schools are now seamless.

Significant financial benefits are achieved by centralising services and focusing funds where they are most needed. As the sponsor school signs the funding agreement for all the schools, and the trust is legally responsible for the collective budgets, this offers greater flexibility to move money across the schools and different subject areas. In addition, the MAT can reinvest money to enhance the curriculum, offer staff training and create new posts, for example, a new catering manager who will offer hospitality to other schools and, in doing so, generate funds for the MAT.

The MAT is also considering appointing its own educational welfare officer and a new HR manager for the trust. Money saved has allowed the trust to offer scholarships to staff across the trust to enable them to take part in professional development opportunities.

10. Top tips

1. Know what you want and what you believe in, and always focus on what will be best for the children.
2. Make sure you have a business director or the equivalent to handle the business side of things.
3. Don't underestimate the amount of work that is involved and be realistic about the individual capacity you will need to set up the MAT and once it has been established.
4. Try to contribute to the process by pushing people to see things in a different way, from a different perspective; and don't be afraid to challenge.
5. Be certain that you are clear about exactly what you will be responsible and accountable for.
6. Create a space where you can work for the trust; all three schools have a 'trust room'.
7. Make sure you have joined-up thinking but maintain your uniqueness as well.
8. Try and speak to other MATs at the start of the process in order to get an idea of the kind of governance structures and roles that are possible.
9. Define the roles early on, especially the leadership roles, and learn from others.
10. Be absolutely clear about the ethos and philosophy of the MAT.

Interviews for this case study were conducted with the following people:

- Mark Priest, chair of governors at Montenev Primary School and a member/trustee and director of the MAT
- Nicola Shipman, executive principal of the Steel City Schools Partnership MAT
- Morag Somerville, business director of the Steel City Schools Partnership and associate director
- Sarah Wallis, chair of governors at Fox Hill Primary and director

Accounts of practice

39/65

This section of the publication sets out four accounts of practice that illustrate a range of different ways in which schools become part of a multi-academy trust. They also show how these schools have overcome different MAT-related issues. They are designed to provide snapshots of practice.

Governors and school leaders can use the accounts of practice in a variety of ways, for example:

- for personal reading and reflection
- as a resource for governor training
- for discussions around specific sections with working parties, small governor groups or full governing bodies
- to offer solutions and suggestions that can be explored in relation to their own context

Account of practice 1: Flying High Trust

40/65

The philosophy of the Flying High multi-academy trust is based on school-to-school support and collective responsibility. It sees its role predominantly as supporting school improvement – from underperforming schools to those growing from ‘good’ to ‘outstanding’. The headteacher, Chris Wheatley, had already seen the impact of school-to-school support through the work of the teaching school alliance he set up in 2011. At the same time, the demise of the local authority’s capacity to support schools created a potential vacuum and the possibility of primary schools being subsumed by local secondary schools. Chris realised there was a need for a strong primary organisation that had a clear moral purpose and a genuine appetite for collaboration, and applied to establish a MAT.

The Flying High MAT is a primary-only MAT and, from January 2014, includes an ‘outstanding’ school, two ‘good to outstanding’ schools, and one school in special measures, which will be the sponsored school. The ‘good’ to ‘outstanding’ schools are joining Flying High Trust because they want to become outstanding. Both of the schools know Chris and have worked with him in the past. They see the advantage of being part of a collaboration that is focused on the primary phase, and have also seen the benefits of the teaching school alliance.

When Chris was thinking about applying for MAT status, he consulted a range of sources, including the NCTL’s online academy resources, other heads who had successfully established MATs, as well as FASNA and the Department for Education broker. He also used accountants and took specific legal advice when it came to setting up the MAT. Lawyers are still being used to provide up-to-date legal advice and to support the conversion process for each academy that joins the MAT.

The MAT has appointed a director of business and finance, and a director for school improvement. The latter will spend three days a week as executive headteacher supporting the head of school in the school that is in special measures, and will also support the ‘good’ to ‘outstanding’ schools.

There is constant pressure on Chris to keep the schools on track and, at the same time, to make sure his own school, Cotgrave Candleby Lane Primary, remains outstanding. He is conscious of the capacity required to support multiple schools in special measures and currently is of the view that the MAT can only support one such school at a time, until there are sufficient schools within the MAT with ‘good’ to ‘outstanding’ capacity to support other schools in special measures.

The MAT has set out specific criteria for determining which schools – both ‘good’ to ‘outstanding’ and schools in special measures – may join the trust. A school completes an initial expression of interest, which is then evaluated against the criteria. The Flying High Trust will then carry out a due diligence review – including buildings, finance and performance – which identifies both the priorities for support for improvement, and the capacity that the school has to support others. This review informs the final decision as to whether or not the school may join the trust.

Cotgrave Candleby Lane already had a good chair of governors – a national leader of governance (NLG) who had seen what a difference good governance and leadership could make to a school – and wanted to extend this. The governing body saw the development of a MAT as a natural extension of what it was already doing. So far, the governors of the MAT haven't had to deal with opposition from staff or unions, but they are aware that support may be needed for governing bodies of schools that wish to become part of the MAT.

One of the lessons they have learnt is the importance of modelling the differences in governance roles and responsibilities between directors and local governing bodies and making explicit what these differences are. They also felt there is a need for governor training, exploring the different roles and the specific skills required at different levels.

Some of the questions that governors need to think about include:

- Do we have absolute clarity about why we are doing it, the principles underpinning it and the capacity we need to do it?
- Why do we want to become an academy? What are we looking for? How much autonomy are we prepared to give away? Where will we fit within the governance structure?
- How is it going to be better for the children and how will it improve learning and teaching?
- Are we committed to being part of a collective responsibility for a group of schools as well as our own school?
- Are we happy to have our budget top-sliced by the MAT?

An interview for this account of practice was conducted with Paul Bennett, project manager.

Account of practice 2: Howard of Effingham School

42/65

Howard of Effingham School had its MAT status confirmed on 1 November 2013, with the formation of The Howard Partnership Trust (THPT). This account of practice explores its conversion journey.

In September 2007, The Howard Partnership was formed as a collaboration of Howard of Effingham School and Thomas Knyvett College – both secondary comprehensives in Surrey. Howard of Effingham was rated 'outstanding' in 2006 and 2009, and was one of the first schools to be invited to convert to an academy. As a result of their outstanding partnership work, both schools were invited to form an academy chain of linked academies. In 2011, The Howard Partnership Education Trust was formed as an overarching umbrella trust.

The vision of the trust was to support the sustainable improvement of its schools and partners through collaborative working, in order to enhance the life chances of students and members of the local community.

Surrey County Council and the DfE asked Howard of Effingham, as a sponsor academy, to support a local primary and nursery school that had been placed in special measures by Ofsted. The support the school has provided since 2013 has already resulted in marked improvement at these schools.

The Howard Partnership Trust achieved MAT status, which enables it to support more schools in Surrey, including those in challenging circumstances and good schools that want to become outstanding schools. The number of schools in Surrey needing support is increasing, and the Howard Partnership is well positioned to help. The local authority has recently re-launched its school support service and is promoting school-to-school support. More schools, school leaders and THPT will be contributing to this work. In addition, a number of primary schools are being asked to convert to academy status and THPT has had a direct request to help with this. MAT status will also help the partnership achieve greater control and autonomy, and will enable it to form a governance structure that better meets its requirements.

Conversations about converting to a MAT started in January 2013. In March and June, governing body workshops were held to explore the concept further and to develop draft terms of reference for the local governing bodies. Consultations took place throughout the summer in each of the partnership schools. Working parties were set up in each school to address and answer any questions or concerns from parents and governors. There were few challenges or barriers, as many of the critical discussions had already taken place and key questions had already been answered when the partnership was formed. Their history of successful partnership working and respect for the key players also helped to make the process easier.

Some of the questions that arose focused on land issues, admissions and the powers that the LGB would retain as well as structures, roles and responsibilities. The governing body took time to research and explore different DfE models. It also sought specific legal advice and appointed a project manager to focus solely on the MAT.

Although it is still in its very early stages, the plan is to delegate a high degree of autonomy back to the LGB, depending on its Ofsted category, with higher degrees of autonomy for schools that are achieving high standards and good Ofsted ratings. The proposal is to allow LGBs to focus on achievement and progress, rather than some of the more traditional governance issues.

The trust will not necessarily be looking for governors with specific skills. According to Chris Williamson, chair of governors at Howard of Effingham:

You don't always need people with specific skills. People can learn skills but you can't learn attitudes as easily.

For Chris, the most important thing is that governors must always have a focus on the best for the school and the pupils, they should engage in frequent self-evaluation for effectiveness, have a willingness to adapt, trust in colleagues and be “prepared to abandon the good to find the better”.

An interview for this account of practice was conducted with Chris Williamson, chair of governors at Howard of Effingham School.

Account of practice 3: Belleville Primary School

44/65

Belleville Primary School is a four-form entry school of 850 pupils, based on two sites in south-west London. Numbers attending the school are increasing. The chair of governors, Kate Amis, has been at Belleville for the last 15 years. In 2007, the school was rated 'outstanding' by Ofsted.

In November 2011, the school became an academy, having spent the previous year researching and considering conversion, holding governor workshops and consulting with parents. The governing body was split about the decision and three of the governors resigned. In July 2013, the school was granted MAT status and has now moved to a more streamlined governing body, with a maximum of 12 governors plus the headteacher.

A key incentive to become a MAT was to enable Belleville to open a new school. This option was only available once it had become a MAT. Other reasons for becoming a MAT included a desire not to be constrained by curriculum changes, to gain increased autonomy – for example, in terms of admissions policy – and to better support and reward staff. Although it would consider supporting other schools, Belleville feels the timescales are very tight and leave little time for preparation.

The existing governance structure comprises:

- members – the chair of governors plus 2 chairs of committees
- directors – 2 staff, 2 pedagogy, 1 finance, 1 curriculum, 1 executive head, 1 communications and 1 legal
- governing body – 6 parent governors, 3 staff governors (2 teaching and 1 non-teaching)
- 3 co-opted governors

It is likely that when Belleville adopts the MAT model of governance it will increase the number of members to five and have academy councils and a board of directors. Academy councils will have their powers delegated to them by the board of directors.

Top tips for governors considering becoming a MAT include:

- Use a range of sources to help you make your decision, for example, National College for Teaching and Leadership (NCTL), the National Governors' Association (NGA), the Department for Education, web research, and other schools and governors.
- Make sure your governors' skills are fit for purpose in terms of what you expect and what needs to be done.
- Stay true to your core vision and make sure your strategy follows and supports that vision.
- Develop systems and processes that allow you to keep abreast of developments.
- Be clear about roles and responsibilities.
- Set up a subcommittee to examine research proposals and options, and make sure the right people are on it.

An interview for this account of practice was conducted with Kate Amis, chair of governors.

Account of practice 4: The Kingfisher School

45/65

The Kingfisher School has 55 pupils. It was set up in 2006 and developed out of a previously failing school. In 2013, the school was rated 'good' by Ofsted.

Following its Ofsted inspection in 2012, the school considered that academy status would offer more freedom to be innovative and creative in its approach to special needs education. Kingfisher was already in contact with other schools in Redditch and Worcester about working collaboratively, as well as a sister school in Evesham. From these discussions, and with input from the DfE, the decision was made for the Vale of Evesham School – an outstanding special school that had already been granted academy status, with approval to operate as a MAT from April 2013 – to become a sponsor school and incorporate three schools for children with behavioural, emotional and social difficulties (BESD), of which Kingfisher was one.

The process of joining the MAT began in September 2013 and, along with the two other schools, Kingfisher School was granted academy status from 1 January 2014.

The multi-academy trust, known as Advance Trust, now comprises four schools:

- Vale of Evesham School, Evesham (sponsor school)
- Kingfisher School, Redditch (BESD)
- Riversides School, Worcester (BESD)
- Newbridge School, Worcester (short-stay school)

The sole purpose of the MAT is to build a large trust that caters only for special needs schools, although, over time, the MAT may also consider creating a mainstream section.

The governors played a significant part in the process of achieving academy status, in particular, the chair of governors and the headteacher, who collaborated closely on the planning.

Many of the questions raised by governors focused on the benefits and pitfalls of such a change and the implications it would have on the school and the children. Questions about cost and capacity were also raised, as were questions about support and where it might come from.

The support structures referred to included publications by the NGA and FASNA, meetings with local authority advisers and visits to schools that had been through a similar process.

The school is currently in the process of reducing the size of the governing body (to 10 people) and to reduce the workload on the committees (which currently number three or four). The governing body meets twice every term: once to look at educational issues and once to look at management.

Kingfisher is already enjoying some of the benefits of being part of a multi-academy trust. It will be able to expand facilities and share resources. For example, the MAT can employ its own educational psychologist – a service that had been reduced within the local authority. Most importantly, it has created a wider set of opportunities to collaborate with other schools and achieve the changes necessary to improve education for its students, to improve the quality of teaching and learning, and, of course, to achieve better results.

Succession planning is also much easier now across the MAT. Good special needs teachers are hard to replace, so having a succession planning programme alongside strong training support enables better staff retention. The MAT is also gradually building a structure for progression: deputy heads moving to heads of school, and then executive head positions where appropriate.

An interview for this account of practice was conducted with Chris Hindle, chair of governors.

Church school MATs

47/65

This publication aims to provide support and guidance for governors of all schools in England, including church schools. However, it is important to note that, although much of the content will be helpful to governors of church schools, their situation is unique and schools considering academy status should engage as soon as possible in discussions with their diocese.

In the Catholic Church, there are effectively 19 English dioceses which could potentially have academies. The bishop of each of the dioceses is responsible for taking forward education policy in his diocese in his own way. As such, there could be 19 different ways in which dioceses may progress the academy agenda. The way in which the education framework is structured will also be different across dioceses. Some dioceses only have multi-academy trusts, some have single academies, while others have a mixture, including umbrella academy trusts. It is important to bear in mind that the consent of the diocesan bishop is required for the conversion of any Catholic school; it will be the diocese that makes decisions about what conversion will look like, in the event that consent is given.

Where a school is causing concern, it is with the diocese that the DfE will engage to agree how the school will be supported. A key principles document has been agreed with the DfE, which sets out the basis of that agreement. Governing bodies are also accountable to the diocese.

Similarly, the Church of England has a memorandum of understanding with the DfE. This stipulates that the diocese owns Church of England schools and that it is the diocese that has the first opportunity to show it is capable of providing a solution if a school is struggling. It is, therefore, to the diocese that schools should turn first. Together with the DfE, they agree on a solution.

The following extract from 'The church school of the future: review' explains some of the implications for Church of England schools.

As quasi-independent schools, academies are outside most of the core education legislation and, therefore, are accountable only to themselves for their curriculum, organisation, admissions policies and teachers' pay and conditions.

For a Church of England school to convert to academy status, a number of conditions have to be satisfied: the land and title issues have to be dealt with appropriately; the relation to the wider diocesan family of schools must be maintained; and a continuing commitment must be made to preserve the distinctive character of the foundation. Together with Roman Catholic and Methodist colleagues, the National Society and the Department for Education have drafted appropriate documentation and issued advice to DBEs [Diocesan Boards of Education] and schools.

The church school of the future: review, 2012, p.12

How the National College for Teaching and Leadership (NCTL) can help you

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As outlined in *The Role of School Governing Bodies: Government response to the Committee's Second Report of Session 2013–14*, the government had doubled its investment in governance support and training offered by NCTL. Believing that high-quality clerking is key to governing body effectiveness, NCTL is designing a new training programme for clerks. This work will be carried out by NCTL, so that by March 2015:

- The Chairs of Governors' Leadership Development Programme will expand to reach over 6,500 chairs, vice-chairs and aspiring chairs.
- Designate up to a total of 535 high-quality chairs as national leaders of governance (NLG).
- Develop and roll out a programme of training for 2,000 clerks to governing bodies.
- Develop and publish training resources on governance in MATs, and in federations.
- Deliver high-quality training for governors on specific key policy priorities, including understanding performance data, driving financial efficiency in schools, and developing new performance-related pay arrangements for teachers.
- Provide resources and processes on reviews of governance.
- Leading governors' resource to be publically available.

If you are interested in getting involved in any of these areas, please email governors@education.gsi.gov.uk or visit our website: www.education.gov.uk/nationalcollege/index/roles/governors-role

More help and resources

Membership of NCTL is free and gives you access to a range of services, benefits and networking opportunities, including:

- a monthly e-newsletter
- a comprehensive library of leadership resources and research
- training events
- online seminars, discussions and networking opportunities exploring current issues, good practice, school improvement and leadership development

For more information and to register, go to www.nationalcollege.org.uk.

Primary Academy Chain Development Grant

Building on the success of the Primary Chains Grant, the DfE extended the grant in February 2014, renaming it the Primary Academy Chain Development Grant. This will fund a two-year chain development programme for multi-academy trust partnerships. A grant of up to £150,000 (depending on the size of the MAT) will provide financial support to enable new clusters of primary schools to build strong MAT partnerships, helping them to achieve their shared vision of improved results, better outcomes and significantly improved standards more quickly.

Key contacts

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Department for Education

The Department for Education (DfE) offers a range of information and advice for governors of all types of school, from guidance on the law and constitution of the governing body to committees, training and year planning.

<https://www.gov.uk/government/organisations/department-for-education>

National Governors' Association

The National Governors' Association (NGA) is an independent membership organisation that represents school governors of maintained schools and academies in England. Its aim is to improve the wellbeing of children and young people by promoting high standards in all our schools, and improving the effectiveness of their governing bodies.

NGA materials mentioned in this document are available on the NGA website at www.nga.org.uk.

Tel: 0121 237 3780

Email: governorhq@nga.org.uk

www.nga.org.uk

GovernorLine

GovernorLine offers free, confidential advice, information and support to school governors, clerks and individuals involved directly in the governance of maintained schools in England.

The service is free, seven days a week, from 9am to 10pm on weekdays, and from 11am to 4pm at weekends.

Tel: 08000 722 181

www.education.gov.uk/a0064505/governorline-helping-you-helping-your-school

National Co-ordinators of Governor Services

National Co-ordinators of Governor Services (NCOGS) represents local authority providers of services to school governors. It is a source of good practice in training, materials and support services regionally, and also lobbies national bodies on governance issues.

www.ncogs.org.uk

SGOSS

SGOSS (formally School Governors' One Stop Shop) is an independent charity dedicated to recruiting volunteers with added-value skills and helping place them on school governing bodies across England. Its services are free to volunteers, employers, schools and local authorities.

Tel: 020 7354 9805

Email: info@sgoss.org.uk

www.sgoss.org.uk

Freedom and Autonomy for Schools – National Association (FASNA)

Freedom and Autonomy for Schools – National Association (FASNA) is a national forum for self-governing primary, secondary and special schools and academies. FASNA has an Executive Board with elections structured to ensure equal representation of primary and secondary representatives, including heads and governors as well as clerks to governing bodies.

Tel: 0115 917 0142

Email: admin@fasna.org.uk

www.fasna.org.uk

Independent Academies Association

The Independent Academies Association (IAA) is a national body representing state-funded independent schools. A membership association, it brings academy leaders together, runs events and represents members' views on education policy to ministers.

Tel: 0115 942 1238

Email: iaainfo@iaa.uk.net

www.iaa.uk.net

The Schools Network

The Schools Network provides a range of training programmes for academy and school governors, including an academy governor programme.

Specific programmes are available for governors of recently converted academies to ensure that all governors are fully up to date with their new roles and responsibilities, and chairs of academy governing bodies can join a free network to receive academy-specific updates. For further details, see www.ssatuk.co.uk/governors.

Tel: 020 7802 2300

Email: info@ssatuk.co.uk

www.ssatuk.co.uk

Schools featured in the case studies and accounts of practice

- The Collaborative Academies Trust
<http://collaborativeacademiestrust.org>
- Fylde Coast Academy Trust
www.fyldecoastteachingschool.blackpool.sch.uk/academytrust
- Steel City Schools Partnership
<http://steelcityschoolspartnership.info/SCSP/>
- Flying High Trust
<http://flyinghightrust.co.uk/>
- Howard of Effingham School
<http://thehoward.org/>
- Belleville Primary School
www.belleville-school.org.uk/home/
- The Kingfisher School
www.edulink.networcs.net/schools/Kingfisher/Pages/Default.aspx

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Education Funding Agency, 2013, *Academies Financial Handbook 2013*

PricewaterhouseCoopers, 2011, *Academies: research into the leadership of sponsored and converting academies*, Nottingham, National College

The Role of School Governing Bodies: Government response to the Committee's Second Report of Session 2013–14

Unleashing greatness: Getting the best from an academised system – The Report of the Academies Commission, January 2013

Appendices

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Appendix 1: Collaborative Academies Trust (CAT) governance structure

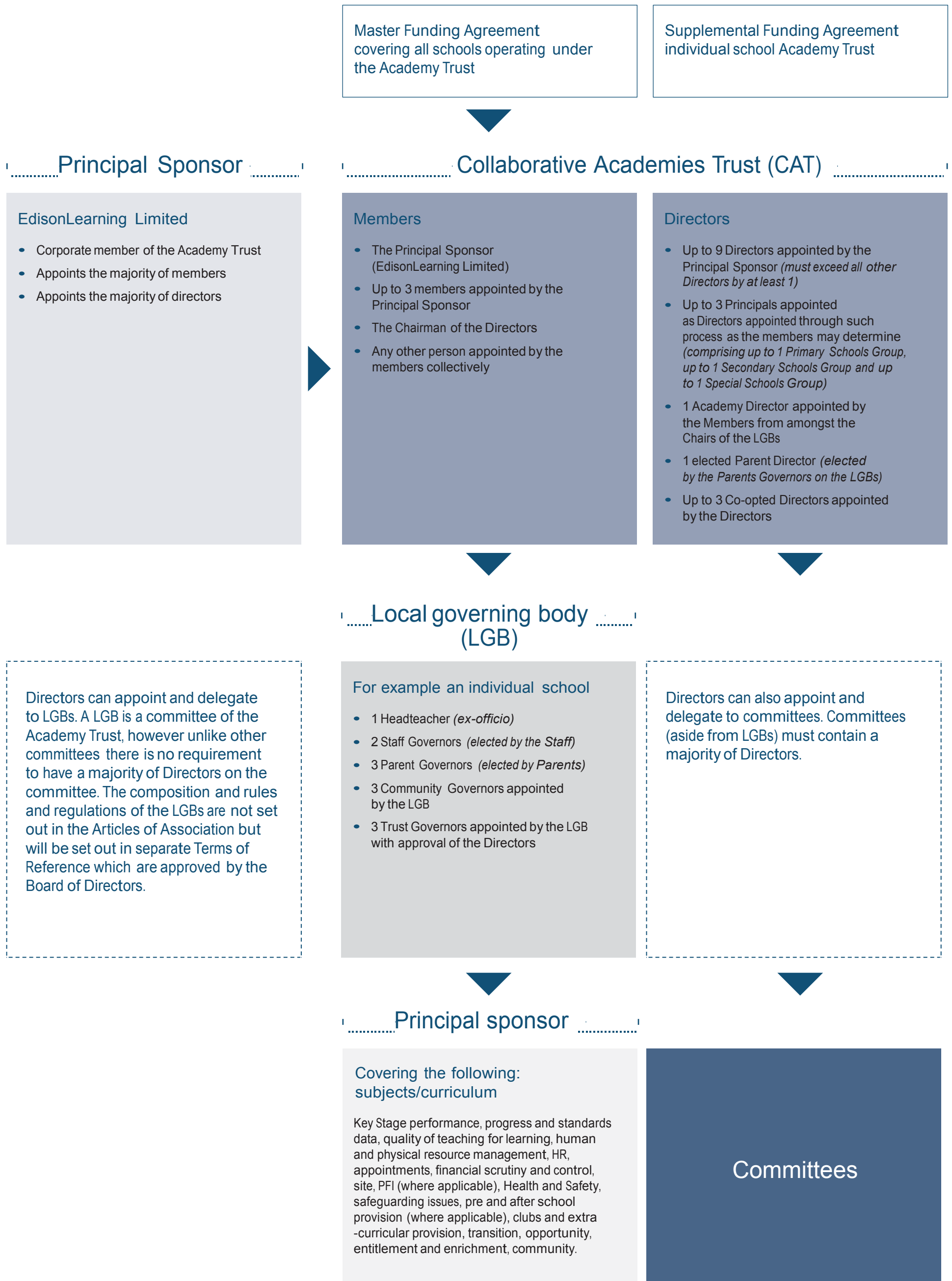
Appendix 2: FCAT teaching school business and governance arrangements

Appendix 3: FCAT governance structure

Appendix 4: FCAT responsibilities and authorities of members, directors
and academy councils

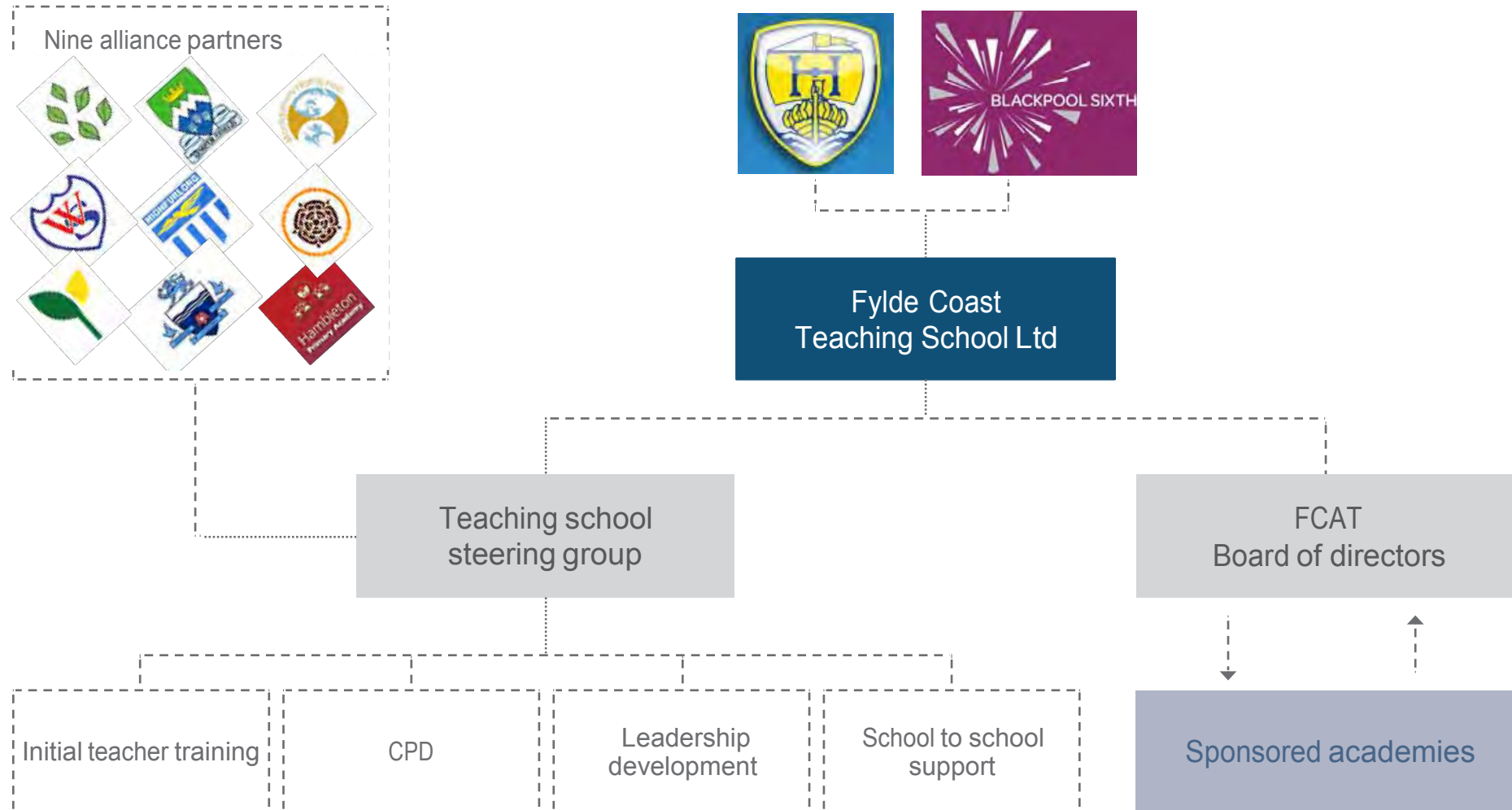
Appendix 5: FCAT governor skills matrix

Appendix 1: Collaborative Academies Trust (CAT) governance structure

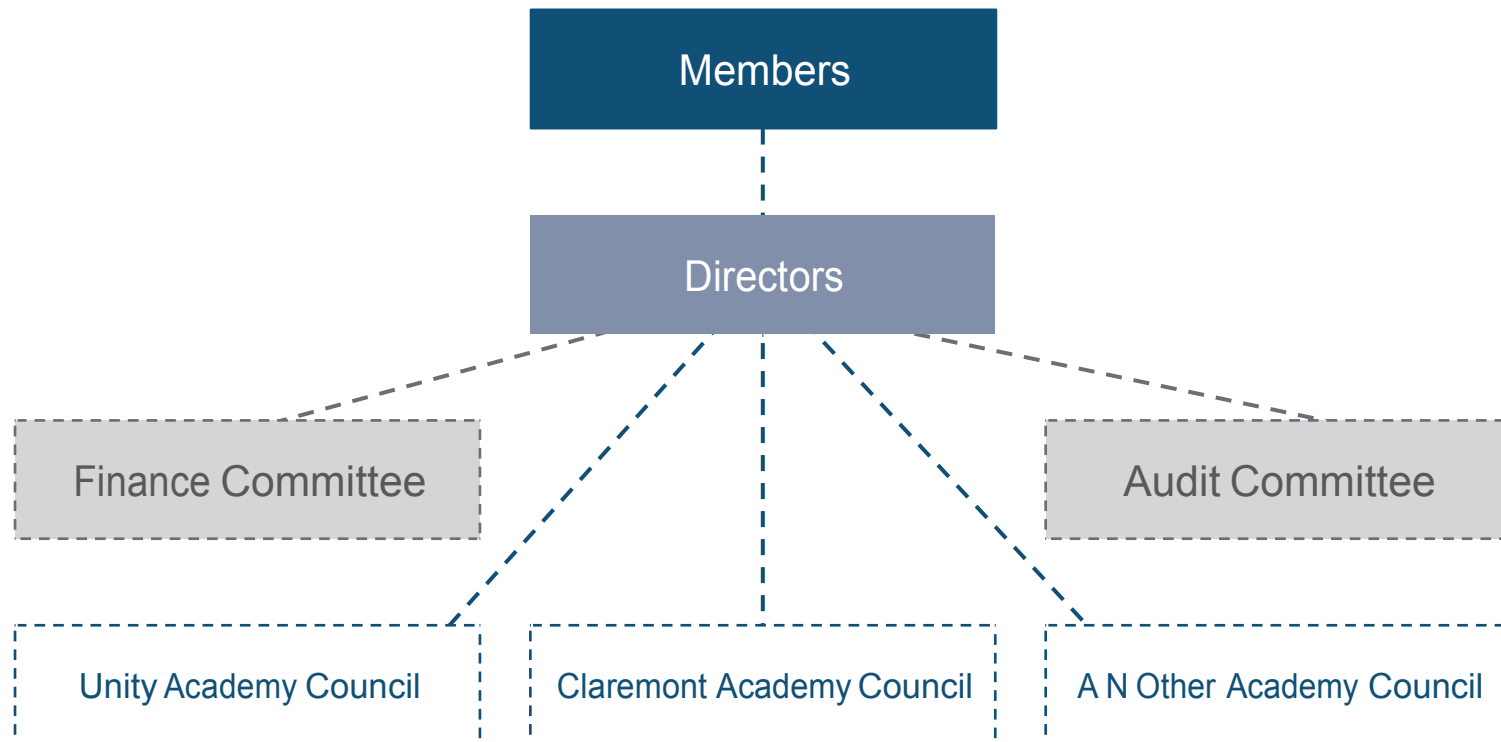


Appendix 2: FCAT teaching school business and governance arrangements

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Appendix 3: FCAT governance structure



Appendix 4: FCAT responsibilities and authorities of members/ directors and academy councils

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Board and committees

Governance level	Membership	Meetings	Responsibilities/Authorities	Reporting	References
Members	<ul style="list-style-type: none"> Sponsor of FCAT – Fylde Coast Teaching School Principals and Chairs of Governors of Blackpool 6th Form and Hodgson Academy 	AGM	<ul style="list-style-type: none"> To appoint/remove Sponsor Directors To sign off the financial statements and annual report To change the Articles 	N/A	N/A
Board of Directors	<ul style="list-style-type: none"> Up to 12 Sponsor Directors Up to 3 Chairs of Academy Councils Director of Children’s Services at Blackpool Council 	6 half-termly	<ul style="list-style-type: none"> To ensure quality of educational provision To challenge and monitor performance To manage finances and property To manage the Principals To exercise reasonable skill and care in carrying out their duties To ensure compliance with charity and company law To ensure operation in accordance with Funding Agreement 	Reports to Members at AGM on progress for the year and to present financial statements and annual report	Standing Orders
Finance Committee	<ul style="list-style-type: none"> Up to 4 Directors 	6 half-termly	<ul style="list-style-type: none"> To provide financial oversight 	Reports to Board of Directors through approved Minutes	Terms of Reference

Appendix 4: FCAT Responsibilities and Authorities of Members/ Directors and Academy Councils (continued)

Governance level	Membership	Meetings	Responsibilities/Authorities	Reporting	References
Audit Committee	<ul style="list-style-type: none"> Up to 4 Directors (not members of the Finance Committee) Attendees: Academy Principals, Academy Business Managers 	AGM	<ul style="list-style-type: none"> To provide oversight on internal controls 	Reports to Board of Directors through approved Minutes	Terms of Reference
Academy Councils	<ul style="list-style-type: none"> Executive Principal Principal Up to 8 Sponsor Governors 2 Staff Governors 2 Parent Governors 	6 half-termly	<ul style="list-style-type: none"> To support the vision of FCAT To provide a monitoring role in connection with the Academy To monitor and be accountable for budget setting and review To govern admissions and exclusions To monitor and be accountable for standards To act as a critical friend to the Principal To represent the views of the community 	Reports to Board of Directors through approved Minutes	Scheme of Delegation and Terms of Reference

Appendix 4: FCAT Responsibilities and Authorities of Members/ Directors and Academy Councils (continued)

Communication

Meeting	Communication	Provided by	Provided to
Board of Directors	Summary of meeting	Academy Principal	Academy Council
Finance Committee	Minutes of meeting	Finance Committee Chair	Board of Directors
Audit Committee	Minutes of meeting	Audit Committee Chair	Board of Directors
Academy Council	Minutes of meeting	Academy Council Chair	Board of Directors

Appendix 4: FCAT Responsibilities and Authorities of Members/ Directors and Academy Councils (continued)

Specific roles

Role	Responsibilities	Reporting	Requirements
Accounting Officer	<ul style="list-style-type: none"> • Appropriate oversight of financial transactions • Regularity and propriety • Prudent and economical administration • Value for money through efficient, effective and economic use of available resources • Preparation of the statement on governance in the annual report 	<ul style="list-style-type: none"> • Personally responsible to the Board of Directors and through it to the Secretary of State and Parliament • Reports to Members through annual report 	
Principal Finance Officer	<ul style="list-style-type: none"> • To prepare the annual accounts • To prepare and monitor the budget • To provide technical advice • To liaise with auditors 	<ul style="list-style-type: none"> • Reports to the Board of Directors through written reports and meeting attendance 	Finance Director/Business Manager or equivalent
Responsible Officer	<ul style="list-style-type: none"> • To undertake a programme of work to address the risks, inform the statement of internal control and provide assurance to the external auditors 	<ul style="list-style-type: none"> • Reports to the Audit Committee through written reports and meeting attendance 	Unpaid Non-employee Director with appropriate qualifications and/or experience OR internal auditors OR external auditors OR peer review

Appendix 5: FCAT governor skills matrix

When appointing new governors to an Academy Council, FCAT is trying to taking account of:

- the need to ensure key stakeholders are represented
- there is a balance of gender, age and ethnicity
- governors come from geographical areas and communities from which the Academy draws its students
- the Academy Council has a range of career and job backgrounds
- there is the right blend of expertise and experience for the Academy Council and its committees to work effectively

The following questions are designed to inform FCAT and will be treated as confidential.

How to fill in the questionnaire?

- What? Give an indication of your experience and/or knowledge
- How? Give details of any evidence such as posts held or qualifications achieved
- When? State the length of recent or current experience in the area
- Overall Score Give yourself an overall score on the following scale:
5 = very experienced **4** = experienced **3** = reasonable **2** = limited **1** = very limited **0** = none at all

Please be aware that you do not need to demonstrate competence in each area.

The purpose is to identify which area of expertise you may bring to the Academy Council.

Appendix 5: FCAT governor skills matrix (continued)

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Skill Area	What?	How?	When?	Overall Score
Accounting and audit				
Business efficiency				
Care and caring professions				
Communities in the local area				
Corporate governance				
Curriculum design and assessment				
Education in schools – secondary, primary or early years				
Employment law and human resource practice including CPD				

Appendix 5: FCAT governor skills matrix (continued)

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Skill Area	What?	How?	When?	Overall Score
Equality and diversity				
Financial management				
Health and safety				
Management and leadership skills, in particular quality improvement processes				
Operational management				
Performance management				
Risk management				

Appendix 5: FCAT governor skills matrix (continued)

64/65

Skill Area	What?	How?	When?	Overall Score
Safeguarding				
Social issues in the area				
Sport and leisure				
Strategic planning				
Sustainability				
Young people's welfare and health				

Appendix 5: FCAT governor skills matrix (continued)

Additional Information

- Are you a parent of a child currently attending a school/academy in Blackpool?
If so, please give full details.
- Are you a member of staff currently employed at a school/academy in Blackpool?
If so, please give full details.
- Have you been a member of staff, an elected member or otherwise connected with the Local Authority or associated bodies? If so, please give full details.
- Are any of your immediate family or partner employed at or associated with a school/academy in Blackpool? If so, please give full details.

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National College for Teaching and Leadership
Triumph Road
Nottingham NG8 1DH

www.gov.uk/nctl

Agenda Item 6

	CONFIDENTIAL
Paper title:	Governors training and support
Board/Committee:	UAE School Advisory Board meeting
Date of meeting:	09 May 2019
Author:	Alexander Enibe, Clerk to SBA Academies
Sponsor:	Chris Mallaband, Chair of SAB
Purpose:	For Information
Recommendation:	The SAB is requested to complete trainings and note The Key to Governors login details.

Executive Summary

The SAB is requested to complete the following online training courses, which have been arranged for the SBA directors and governors:

- The Child Protection for School Governors (safeguarding).
- Prevent Duty – please follow this [link](#) and click London – Education (schools) - Governor
- Safer Recruitment (for selected SAB governors only)

The Clerk has registered the SAB on The Key to Governors and have provided them with login details. The SAB are encouraged to use this for source of information on school governance.

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Principals report to governors

9th May 2019



John Taylor

1. Introduction from John Taylor
2. Teaching and learning – outcomes of the annual department reviews and the latest homework, marking and feedback review from Annette Moses. Appendix 4 forms part of this report.
3. Sixth Form report from Meirion Lewis
4. Safeguarding referrals and levels – CPOMS report from Jason Badu - Appendix 2
5. Pupil numbers and characteristics report from John Taylor - Appendix 1
6. Exclusion data including comparison with same period last year from Jason Badu, including Appendix 3
7. Learner outcomes – KS4 mock results and interventions update from Nick Moore
8. SEND update from Austin Sheppard
9. Staffing – leavers, recruitment, resignations, sickness and absence report from Jason Philipsz
10. Day 10 and enrichment report including trips and visits from Hannah Dalton

1. Introduction

Our main focus throughout this term has been to prepare the year 11 students for the schools first ever GCSE examination season. As you know, most of our teaching staff and support staff have never been through this before so there has been a lot of lessons learnt in the process. We can see that the year 11's have made continuous steady progress towards their GCSE exams, which is evidenced in their mock examination results stretching back through 4 sets of exams from January last year.

In February we recruited 2 new Assistant Vice Principals, Hannah Dalton and Nick Moore. They are now both in post and have taken over strategic responsibility for key areas across the school. I've attached the shadow leadership responsibility chart as an appendix to this report. We should have fully realigned responsibilities to this by the time we start next year in September.

The area I am most anxious about currently is the budget for next year. This is for two reasons:

- We are increasing the size of the sixth form as our year 11 move into it. this means that we will be increasing the number of A level and BTEC courses we offer from 7 to 13. this is necessary to provide the range of A levels that will attract enough applicants. However, this means an increased teaching load which requires us to employ two new teachers. Unfortunately the funding for sixth forms is lagged by one year, so we will not be funded for this increase in student numbers until 2020-21. The same issue will occur in the next two years when the sixth form grows again, and to a smaller degree it will happen again the year after next. As this increase in numbers was expected this year and next year I will be asking the Trust to fund the cost of this from the reserve fund that was set aside for this schools previous years funding from the DfE. The gap in funding depends on the number of students that start in the year 12 over the next three years but our estimate is that this will be:
 - £144,000 next year (2019-20) - due to an expected increase of 24 students in the sixth form.
 - £324000 in 2020-21 - due to an expected increase of 54 students in the sixth form.
 - £150,000 in 2012-11 - due to an estimated increase of 23 students in the sixth form.

After this, as long as we remain full to our 150 student capacity the funding will be stable and will match costs.

- As well as an expanded sixth form we are increasing the numbers of students in years 7 to 11. In September we will see an increase of around 50 students in these year groups. This is a result of the schools success and its improving reputation with local families. A consequence of becoming a 'full' school is that we now need to complete a range of works to make the spaces fit for purpose. These works include fitting out another Engineering lab, fitting out a Dance studio and fitting out a sixth form study space. As above, this expected consequence of the school filling up in student numbers should have been planned for. I will be asking that this capital expenditure is also funded out of the reserves the school has built up over the past four years.

2. Teaching and learning

Department reviews. December 2019

The outcomes of the department reviews which took place before Christmas can be found in Appendix 4.

Marking, Assessment and Homework review. March 2019

The Marking and assessment review took place on Tuesday 19th March- Friday 22nd March. SLT, Rebekah Lee (English HoD and Literacy Coordinator) and Imogen Fletcher-Blackburn (Marking and Assessment policy writer) conducted the review. All staff were given written and verbal feedback.

Light Marking

The majority of staff are marking well. Books show frequent marking is taking place with the literacy codes used and comments recognising work. Developmental comments are also evident. Some departments are making good use of stamps to highlight when verbal feedback. The very few staff that were not meeting expectations had discussions about this during feedback and were given follow up support from HoDs with further reviews planned for the end of module 5.

Formative Assessment

Formative assessment was excellent in the majority of subject areas with comprehensive developmental feedback given. There was also evidence of improvements made by students based on the feedback in most subjects. This was an area for development in Engineering and Spanish, where there was a lack of a formal structured assessment model as seen in the other departments. This has been discussed with HoDs and Austin Sheppard (Vice Principal) has begun to work with these departments.

Homework on Google Classroom

This area of the review showed the most variation. Some teachers were expertly using Google Classroom to set and mark homework activities in line with the policy, whilst some were setting some work, but as frequently as expected. This highlighted the need for further training on using Google Classrooms and a reinforcement of the expectations as set out in the policy. Nick Moore led a session on the INSET day to further train teachers and reinforce expectations.

Marking and Assessment is due to be reviewed again in Module 6 as per the development plan.

3. Sixth Form

Subject value added

Subject name	March Residual	May Residual
Biology	-0.33	-0.33
Chemistry	-0.33	-0.33
Economics	0	-0.5
Maths	-0.38	-0.38
PD	0	0*
Physics	-0.5	-2.25
Bus Studies	-0.55	-0.27
Engineering	0.36	0.55
Overall	-0.22	-0.43

Key:

White = No new data. Red = Residual has dropped since March. Green = Residual has improved since March

Headline Figures:

A Level

	Target %	Predicted %
A* - A	0	0
A* - B	26	7
A* - C	88	53
A* - E	100	88

7 Students sitting 17 A levels

Commentary

Biology

- L... is a continuing concern. Her attitude and attendance to lessons has dropped significantly since her decision not to apply to University.

Actions:

- All of L...’s non-contact times are allocated to her 3 subjects (split evenly).
- She will have work provided by her teachers to complete in the times which will support her progress. .
- Access Project

Chemistry

- A...’s punctuality is poor but his main issue is lack of work outside of school. Mum is aware of this but works long hours so has limited impact. A... has now been provided with a space to work in school until 6pm every night but he continues to prioritise paid work on the weekends. He also has extra tuition in school for Chemistry and is being supported by the Access Project.
- L... (see above). In addition she has extra tuition in school for Chemistry.
- J... struggled with exam stress during the mocks and underachieved. The Access project are mentoring him to overcome this and he is working well.

Economics

- A...’s issues are the same as in Chemistry and, as a result, his predicted grade has been moved down by 1.
- Ay.. has now completed all her BTEC coursework so is focussing solely on Economics. All her non contact time has been structured by Peter Young and she spends it working in one of the Business studies rooms (usually Peter Young’s)

Maths

- L... and J... are underachieving. See above for strategies

Physics

- All 4 students have dropped significantly from March despite increased tutoring provided by the school

Product Design

- On track

Business Studies

- S... and N... are underachieving mainly due to their poor attendance during this term.
 - Parents have been contacted and meetings are trying to be arranged but they are reluctant to engage with the school.
 - Both students are on attendance report
 - Their non-contact times are being allocated to improving their coursework
 - They will have work provided by Mr Young to complete during these times
 - Their noncontact times will be spent working in either Mr Lewis office, LRC or Mr Young's – this will reduce distractions.
 - After school intervention programme supported by teaching staff
- T... has attendance issues (to lessons) and also issues relating to mental health.
 - She is having counselling both in school and outside
 - She is on attendance report
 - She will have work provided by her teachers to complete in the times which will support her progress.
 - Her noncontact times will be spent working in either Mr Lewis office, LRC or teachers room – this will reduce distractions.
 - After school intervention programme supported by teaching staff

Engineering

- A... has serious medical issues and has had a large amount of time off due to being hospitalised. She has caught up well
- K... is being supported to improve her grades via intervention in her non contact times

6th Form recruitment update for September 2019

60 Applications to date:

- 40 internal applications
- 19 external applications (11 of those are for BTEC Engineering)

External applications are still coming in. Internal interviews are still ongoing.

4. Safeguarding referrals and levels.

See Appendix 2 which is a report from CPOMs detailing all safeguarding concerns over the period ??? to the 2nd May.

5. Pupil numbers and characteristics

See Appendix 1 which is a report from SIMS

6. Exclusion data including comparison with same period last year from Jason Badu

The exclusion figures compared to last year are as follows:

Last academic year: Fixed Term Exclusion **64** Permanent Exclusion **3**

This academic year to date: Fixed Term Exclusion **90** Permanent Exclusion **4**

A breakdown of this years exclusions can be seen in Appendix 3.

7. Learner outcomes – KS4 mock results and interventions

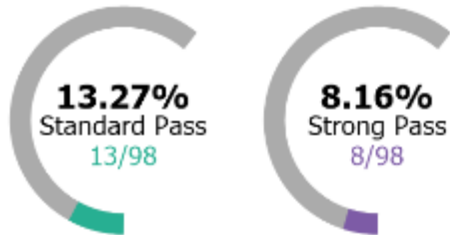
Pupils

98 Pupils 66 Boys 32 Girls

Baccalaureate

51

51 Pupils Entered - 52.04%



Baccalaureate Subjects

	Eng	Ma	Sci	Hums	Lang
Entries	97	97	95	57	81
Standard	99%	99%	97%	58%	83%
Strong	67	63	34	44	38
	68%	64%	35%	45%	39%
	51	44	20	31	24
	52%	45%	20%	32%	24%

Baccalaureate APS

3.6 4.57 6.35 6.92

All Entered Standard Strong

English

Entries 9 to 7 9 to 5 9 to 4
97 14 51 67

Pupils	98.98%	14.29%	52.04%	68.37%
Entries	-	14.43%	52.58%	69.07%

Maths

Entries 9 to 7 9 to 5 9 to 4
97 12 44 63

Pupils	98.98%	12.24%	44.90%	64.29%
Entries	-	12.37%	45.36%	64.95%

Science

	Pupils	Entries
1 Science	95	96.94%
Grade 4+	43	43.88%
2 Sciences	95	96.94%
Grade 4+	34	34.69%
3 Sciences	44	44.90%
Grade 4+	20	20.41%
Bio/Chem/Phys	44	44.90%
Grade 4+	20	20.41%

MFL

	Pupils	Entries
1 MFL Entry	80	81.63%
Grade 4+	37	37.76%
2 MFL Entries	7	7.14%
Grade 4+	1	1.02%

English & Maths Threshold

Both Subjects	39%	15%
<5	38	15
<4	21	13
	21% <td>13% </td>	13%

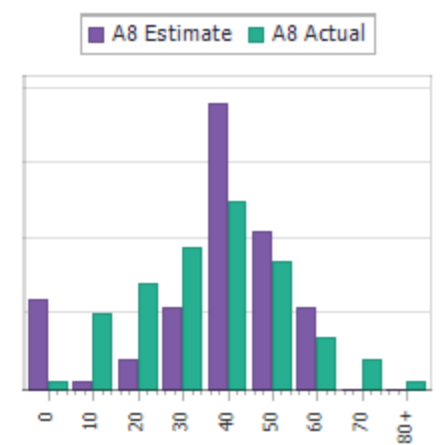
Maths Only	9%	55%
4+	9	54
5+	8	36
	8% <td>37% </td>	37%

97 Pupils Entered - 98.98%

Entries

9 to 8 - inc A*'s	(5.00%)
41	
9 to 7 - inc A*-A	(10.12%)
83	
9 to 5 - inc A*-B	(35.98%)
295	
9 to 5 - inc A*-C	(40.98%)
336	
9 to 4 - inc A*-C	(57.56%)
472	
Total	Average
820.00	8.37

Progress 8



	A8	P8
English	9.2	-0.41
Maths	8.47	-0.33
EBac	11.51	-0.64
Other	11.41	-0.96

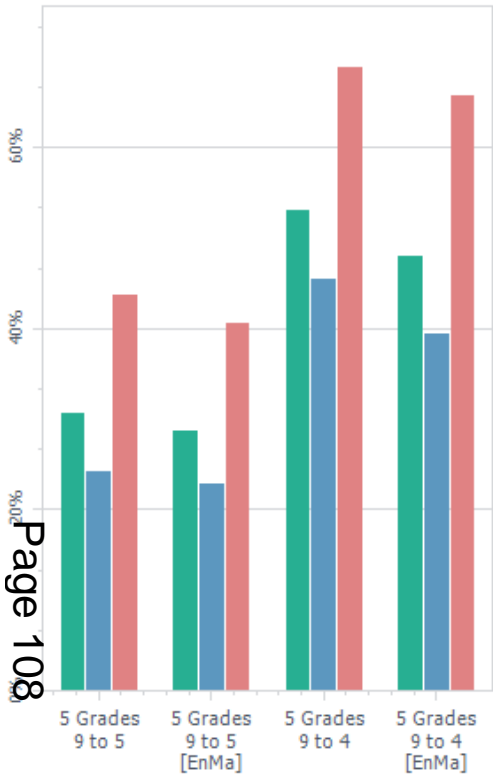
Overall 40.59 -0.63

Entries 86 87.76%

Performance

	Pupils	Percent
5 A* to C	52	53.06%
Inc EnMa (4+)	47	47.96%
Inc EnMa (5+)	35	35.71%
5 Grade 5+	30	30.61%
Inc EnMa	28	28.57%

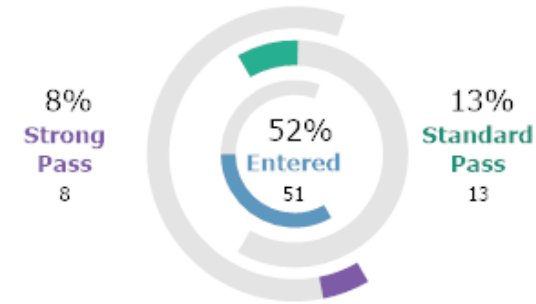
School Overview



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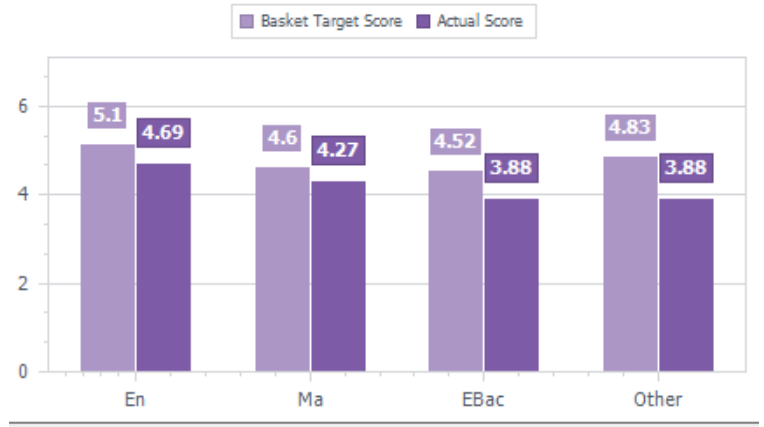
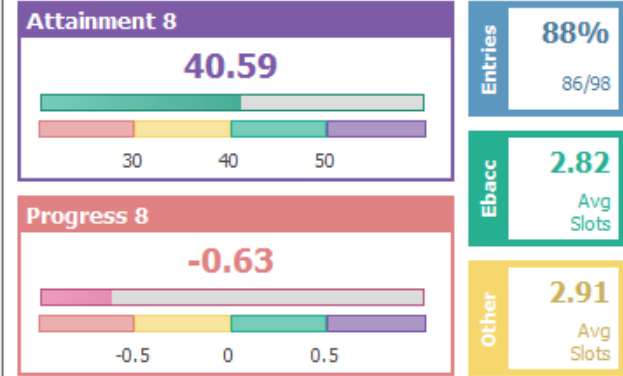
5 9 to 6	5 9 to 5	5 9 to 4
15.31%	30.61%	53.06%
15	30	52
13.27%	28.57%	47.96%
13	28	47
Inc EnMa	Inc EnMa	Inc EnMa

English Baccalaureate



Subject	E	99%	4+	68%	5+	52%
English	97	97	67	67	51	51
Maths	97	97	63	63	44	44
Science	95	95	34	34	20	20
Humanities	57	57	44	44	31	31
Languages	81	81	38	38	24	24

Progress 8



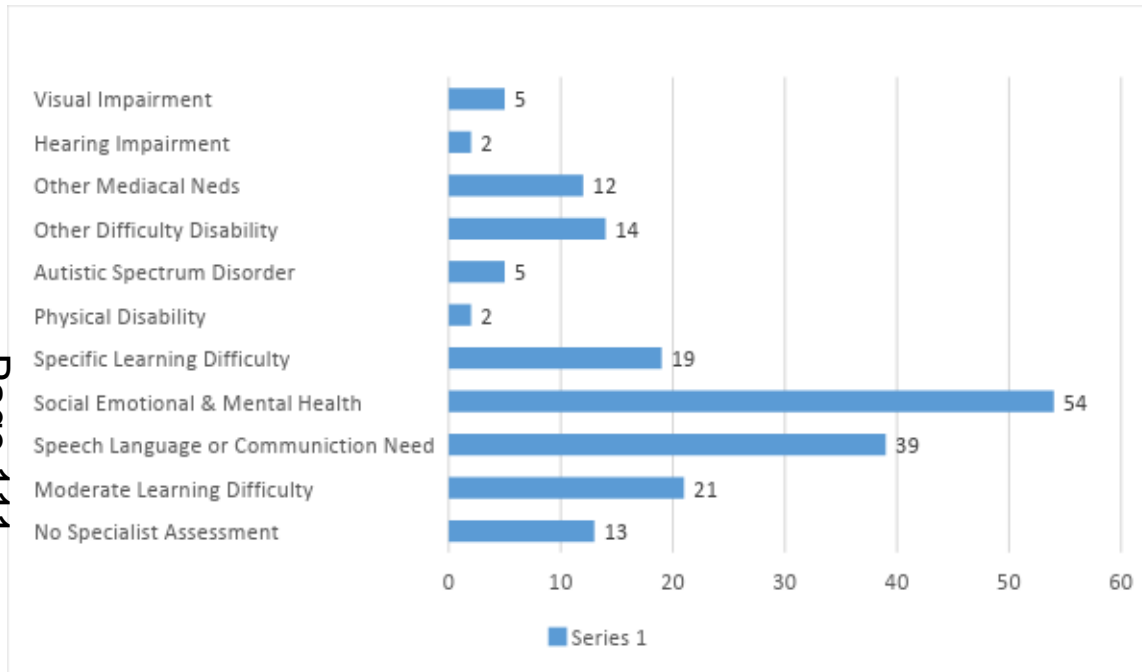
KS4 mock results gap analysis.

Comparison of progress 8 for different groups of students			
Pupil premium students (54)	- 0.82	Non-pupil premium students (44)	- 0.32
Girls (32)	- 0.26	Boys (66)	- 0.82
Students with SEN (14)	- 0.61	Students without SEN (84)	- 0.63
Black african/caribbean (52)	- 0.82	Not black african/caribbean (46)	- 0.41
White british (12)	- 0.86	Not white british (86)	- 0.59

8. SEND update

We currently have 150 students (21%) with an assessed special educational need or disability (SEND). These students all require extra support in class and interventions out of class. These interventions are delivered by our learning assistants and also by external professionals, such as a speech and language therapist. The school is expected to fund up to £6000 of support for each student which should come out of our main DfE income. Of the 150 students 12 have an Education and Health Care Plan (EHCP). For these students we receive top up funding, depending on the assessed level of need, from Southwark LA. Our total top up funding for the current year is £108,000.

The chart below shows the breakdown of assessed needs of our SEN students. Note that some students have more than one category of need.



9. Staffing – leavers, recruitment, resignations, sickness and absence report

Teachers

Leavers during the academic year so far:

Name	Position	Date of Leaving	Reason for leaving
Nathan Cyrus	Maths Teacher	31/10/18	To become full time carer for mother
Daniel Garcia	Science teacher	14/12/18	Moving back to Australia
Mannos Karydis	Science teacher	5/12/19	Taking up a position abroad
Alberto Romero	Languages teacher	31/12/18	Promotion/larger salary
Paul Izilein	Technology teacher	31/12/18	Resignation, potential capability
Megan Thomas	English teacher	31/12/18	Did not settle, personal issues
Francis Uwaechi	Maths Teacher	28/2/19	Resigned without notice

Recruitment

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Hannah Dalton was recruited as Assistant Vice Principal. This was to increase the capacity of SLT to execute their roles as the school had grown to almost full size. Hannah started at the beginning of module 4.

Maths: A maths teacher, Francis Uweachi, was recruited in November on a permanent contract after an initial period of supply to cover the resignation of Nathan Cyrus. He left without serving his notice, breaking his contract, at the end of module 3 just giving a few days notice. His exam classes were redistributed amongst SLT specialist Maths teachers and the rest of his timetable was covered by supply teachers until Easter. A maths teacher, Pellemb Ahmetaj was recruited to take on a role that became vacant in January. The role became vacant because the in house trainee who was meant to take it was not good enough to be taken on full time. The role was advertised nationally and Pellumb was recruited.

English: An English teacher, Emma Labadie, was recruited in January to replace Megan Thomas. Megan had not settled, resigned and got a job in another school. Elizabeth Bloor was recruited in November to replace Jessica Phillips who was recruited in the summer but declined to take up her post. Leila Douglas successfully completed her training as an English teacher and was employed by the school after interview in February 2019/

Design and Technology: A technology teacher was recruited in April to replace Paul Izilein. Adeola Aina was appointed after advertising nationally. Before Adeola joined Pauls position was being covered by Colin Hayes on a long term supply arrangement.

Languages: Monica Martinez joined the languages department in Module 3 to replace Alberto Romero who left at Christmas. Christina Rossi was recruited in Module 4 to cover Janine Stephen's maternity leave.

Science: Sadhiya Pervez (Biology) was recruited to replace Mannos Karydis who left at Easter. Mannos was on a long term support programme to improve his teaching and was probably not going to pass it. Atif Niwaz (Physics) replaced Daniel Garcia who left at Christmas to return to Australia. These two new recruits have settled in well and have greatly improved the spread of subject knowledge across the department.

Change of Role

Rob Harding was appointed Trust Vice Principal at Easter and is currently working 2 days at UAE, 3 days at the UTC. Nick Moore was promoted from Head of Maths to assistant Vice Principal and has been taking on this role since March. Feroz Vora was given the responsibility of leading the languages department during Janine Stephens maternity absence.

Maternities

Kmal Bassi (PA to Principal) went on maternity leave on 1/11/18 and is due to return 31/12/2019 Janine Stephen (Head of Languages) went on maternity leave at the end of module 4. Laura Perez (business studies) is likely to go on Maternity leave at the end of module 4 and Kafi Thomas (liabrarian) is likely to go onto Maternity leave in September.

Staffing Report: Support Staff

Leavers during the academic year so far:

Name	Position	Date of Leaving	Reason for leaving
Andrew Baffour	Learning Assistant	15/1/19	Dismissed for Gross Misconduct
Sreepriya Bhowmik	SENDCO	31/12/18	Potential Capability
Anna Consoni	Learning Assistant	12/2/19	Travelling
Marrissa Ferguson	Head of House	15/2/19	Change of career
Jose Hernandez	Facilities Assistant	18/10/18	Better paid similar job
Alice Gbo	Head of House	28/9/19	Health Issues
David Pereira	Facilities Manager	27/9/18	Moved to a similar job in the primary sector
Souzanna Theothanopolou	Operations Manager	18/1/19	Promotion to Deputy Business Manager in another school
Louise Wiltshire	Learning Assistant	23/11/18	Health issues, not able to continue role
Ashley Zola	Learning Assistant	12/9/18	Resigned, potential capability

Recruitment of support staff

With the departure of Souzanna, David and Jose there was an opportunity to restructure the site team and operational services. The operational side of Souzanna's role has been redistributed amongst support staff and the Vice Principal. The day to day running of site has been restructured by recruiting an experienced Site Manager (Nacer Reizig) who handles both administrative and practical tasks. The Site Manager also manages workload and prioritises jobs, deals with external contractors and is responsible for Security, Health and Safety. He reports directly to the Vice Principal. The school has also recruited an experienced site supervisor (Neil Scarrott). The school is looking to recruit one more junior site assistant to complete the team of three.

The school currently has authority to recruit another head of house. Gavin Austin has been recruited in the interim to act as a pastoral support officer.

Andrew Baffour's dismissal was upheld by the school disciplinary committee of governors and cannot be discussed in this report for confidentiality reasons.

Idris Adebayo, Yaiza Campo have been employed as learning assistants. Recruitment of learning assistants is under review and being overseen by the Headteacher and Austin Sheppard who was recently appointed as Trust Associate Vice Principal.

Elysa Alton has been contracted to act as SENDCo on a fixed term contract.

Jenny Lazenby was appointed as sixth form supervisor in November 2018

Akeem Edwards and Marissa Ferguson were appointed as Heads of House on 12th October 2018.

Page 114 Nicola Dennis joined as maternity cover in the role of PA to the Principal in December but left in March. Since then Siobahn Mckensie is covering the maternity leave for PA to the Principal and SLT admin.

Zero hours contractors

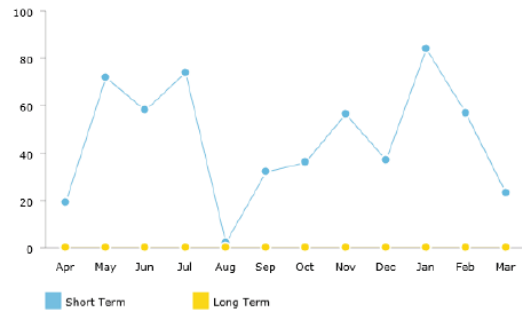
Gurdeep Dhaliwal (HR) Brian Hall (PE) Kwame Owusu-Boateng (Learning Assistant) and Carolina Ordonez have been employed on zero hours contracts which will run to the end of July.

Staff Absence

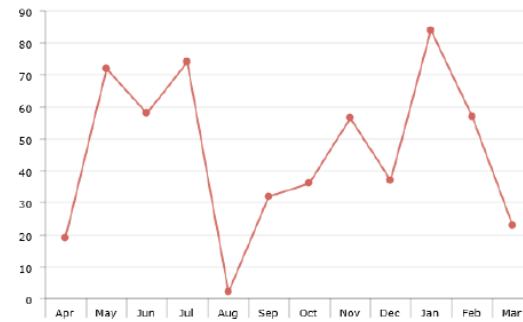
Absence Summary Report - University Academy of Engineering South Bank

This report is based on information held in your SAM account as at 21 March 2019

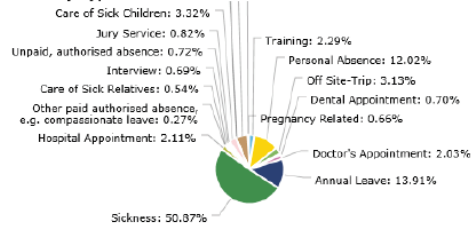
Sickness Days Lost (last 12 months)



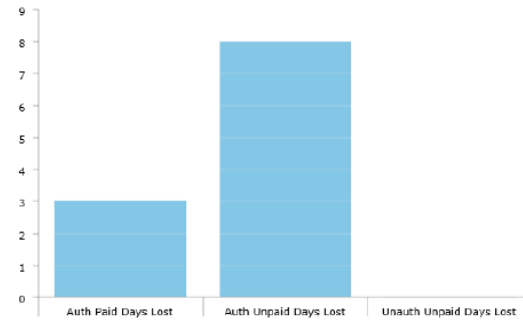
All Absence Days Lost (last 12 months)



Absences by Type



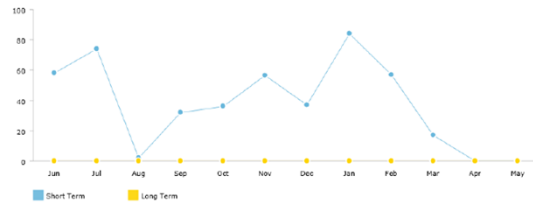
Leave of Absence



Absence Summary Report - University Academy of Engineering South Bank

This report is based on information held in your SAM account as at 01 May 2019

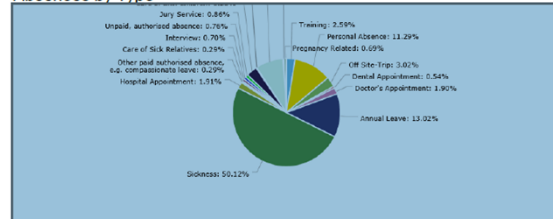
Sickness Days Lost (last 12 months)



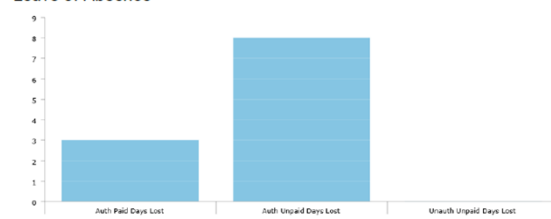
All Absence Days Lost (last 12 months)



Absences by Type



Leave of Absence



10. Day 10 and enrichment report including trips and visits from Hannah Dalton

Below is a report using EVOLVE software which we began using in February 2019. EVOLVE helps us simplify the process of educational trips and visits for users, and will produce self-review and inspection preparation data. A more detailed report on the activities students have taken part in through the Day 10 programme will be presented at the meeting.

Type	Establishment	ID	Name	Start	Attendee Group	Attendees (Male)	Attendees (Female)	Attendees (Total)	Travel Method	Primary Purpose
Other	Trips	726	Year 10 Day 10 - Crystal Year 9 - National Maritime Museum -	15/02/2019	Year 10	29	15	44	Walk Underground	Enrichment
Other	Trips	729	Day 10	01/03/2019	Year 9	39	10	49	Walk	Enrichment
Onsite	Trips	723	Year 10 Art Tate Modern	04/03/2019	Year 10	11	3	14	Walk	Curriculum
Other	Trips	731	Year 10 Art - Tate Modern Year 8-12 Enrichment - International	04/03/2019	Year 10	11	3	14	Walk Bus	Curriculum
Other	Trips	737	Womens' Day	08/03/2019	Year 8, Year 9, Year 10, Year 12	0	20	20	Walk	Enrichment
Other	Trips	739	Year 12 CAD Project	12/03/2019	Year 12	12	1	13	Walk	Curriculum
Other	Trips	727	Year 10 Geography - Field Study (Human)	13/03/2019	Year 10	19	2	21	Walk Underground	Field Studies
Other	Trips	735	UKMT Team Challenge	13/03/2019	Year 7, Year 8, Year 9	1	3	4	Train Bus	Curriculum
Other	Trips	740	Year 12 Engineering Tideway Visit	14/03/2019	Year 12	12	1	13	Walk Bus	Project Based Learning
Other	Trips	727	Year 10 Geography - Field Study (Human) Year 12/13 Engineering Blue Sky Building	14/03/2019	Year 10	19	2	21	Walk Underground	Field Studies
Other	Trips	741	Visit	15/03/2019	Year 12	12	1	13	Bus	Curriculum
Other	Trips	742	Year 10 Engineering Wates	19/03/2019	Year 10	8	2	10	Bus	Curriculum
Other	Trips	743	Year 12 Engineering CAD Training LSBU	19/03/2019	Year 12	13	2	15	Bus	Curriculum
Other	Trips	744	Year 12 Engineering CAD Training LSBU	26/03/2019	Year 12	13	2	15	Bus	Curriculum
Other	Trips	756	Year 7 Day 10 - Tate Britain Properties of metals/non metals,	26/03/2019	Year 7	32	19	51	Walk Bus	Enrichment
Other	Trips	757	Engineering, Yr13	26/03/2019	Year 13	4	7	11	Bus	Curriculum
Other	Trips	752	Year 12 Engineering Robotic LSBU	27/03/2019	Year 12	12	1	13	Walk Bus	Curriculum
Other	Trips	746	Year 10 Drama - Theatre Peckham KS3 Drama- ESU Shakespeare	28/03/2019	Year 10	8	3	11	Walk Bus	Enrichment
Other	Trips	755	Competition	01/04/2019	Year 7	1	2	3	Walk Bus	Personal Development
Other	Trips	758	Educational Visit	01/04/2019	Year 13	1	3	4	Train	Curriculum
Other	Trips	745	Year 12 Engineering CAD Training LSBU	02/04/2019	Year 12	13	2	15	Walk Bus	Curriculum
Other	Trips	747	Year 11 Drama - Theatre visit to The Yard	03/04/2019	Year 11	14	5	19	Underground Bus	Curriculum
Other	Trips	759	Year 10 Day 10 - Walthamstow Wetlands	05/04/2019	Year 10	27	15	42	Walk Underground	Enrichment
Other	Trips	758	Educational Visit	05/04/2019	Year 13	1	3	4	Walk Train	Curriculum
Other	Trips	760	Year 10 Engineering, Imperial College	25/04/2019	Year 10	14	1	15	Walk Bus	Careers
Other	Trips	762	Year 9 - Tate Modern Day 10	26/04/2019	Year 9	34	10	44	Walk Bus	Enrichment
Other	Trips	764	Year Day 10 - Walthamstow Wetlands	03/05/2019	Year 10	37	13	50	Walk Underground	Enrichment

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The SIMS School Report

University Academy of Engineering South Bank, 01 May 2019

School Details

Head Teacher	Mr John Taylor	Governance	Academies	School Years	Year 7 to Year 13
School Phase	Secondary	Local Authority	Southwark	Pupils of this school	705

Pupil Numbers

	Year 7		Year 8		Year 9		Year 10		Year 11		Year 12		Year 13		All Years	
Pupils of this school	145	134	142	138	98	21	27	705								
Male	62.76%	91	74.81%	101	76.76%	109	75.36%	104	68.37%	67	76.19%	16	40.74%	11	70.68%	499
Female	37.24%	54	24.44%	33	23.24%	33	24.64%	34	31.63%	31	23.81%	5	59.26%	16	29.18%	206
Single Reg	145	134	142	137	98	21	27	704								
Male	91	101	109	103	67	16	11	498								
Female	54	33	33	34	31	5	16	206								
Dual Main				1				1								1
Male				1				1								1
Dual Subsid		1														1
Male		1														1
Total Pupil Numbers	145	135	142	138	98	21	27	706								
Male	91	102	109	104	67	16	11	500								
Female	54	33	33	34	31	5	16	206								

Key Pastoral Factors

	Year 7		Year 8		Year 9		Year 10		Year 11		Year 12		Year 13		All Years	
Free School Meals	30.34%	44	31.34%	42	26.76%	38	38.41%	53	40.82%	40	9.52%	2	18.52%	5	31.77%	224
English as Add'l Language	49.66%	72	37.31%	50	52.82%	75	40.58%	56	45.92%	45	9.52%	2	14.81%	4	43.12%	304
Pupil Premium	44.14%	64	56.72%	76	57.04%	81	58.70%	81	52.04%	51					50.07%	353
Medical Condition	24.14%	35	11.94%	16	14.08%	20	13.77%	19	27.55%	27					16.60%	117
SEN Needs	21.38%	31	21.64%	29	18.31%	26	27.54%	38	26.53%	26					21.28%	150
SEN Status	22.07%	32	21.64%	29	12.68%	18	15.94%	22	20.41%	20					17.16%	121

Session Attendance Summary (03 Sep 2018 - 30 Apr 2019)

	Year 7		Year 8		Year 9		Year 10		Year 11		Year 12		Year 13		All Years	
Attendance	95.87%		95.44%		95.36%		93.48%		95.07%		63.45%		56.84%		92.60%	
Authorised	3.03%		3.13%		2.75%		3.91%		2.99%		1.61%		1.40%		3.05%	
Unauthorised	1.02%		1.05%		1.54%		2.55%		1.70%		16.47%		20.76%		2.76%	
Persistent Absence >=10%	10		16		12		19		13		18		23		111	
AEA	2.14%		4.54%		2.60%		2.66%		1.96%		1.09%		0.59%		2.66%	
Present	93.73%		90.90%		92.77%		90.82%		93.10%		62.37%		56.25%		89.94%	
Lates	1.48%		2.63%		3.32%		3.37%		2.60%		7.56%		11.29%		3.16%	

Categories	Students	Incidents
Safeguarding	22	24
— CAF	5	5
— Child In Need	10	12
— Young Carer	1	1
Child Protection	16	17
— Care Team Meeting	3	3
— Child Protection Conference	8	8
— CP Plan	3	3
Parental Contact	12	14
— Telephone Call	8	10
— Meeting	2	2
— Face to Face Conversation	1	1
— Other	1	1
Contact with External Agency	9	12
— Telephone Call	2	2
— Email	2	2
— Meeting	3	5
— Police Contact	2	2
Cause for Concern	71	120
— Emotional Related	32	35
— Neglect Related	9	10
— Physical Related	8	13
— Sexual Related	10	11
— Domestic Violence	5	17
— Self Harm	3	4
Totals (unique):	131	263

Categories	Students	Incidents
— Suicidal	3	3
— Other	24	27
— Drug / Alcohol Related	3	3
SEND	6	8
— School Support	1	1
— EHCP	3	4
Attendance	7	8
— Internal Monitoring	3	3
Bullying/ Friendship Related Issues	18	28
— Cyber Bullying	1	1
— Physical Bullying	7	10
— Racist Incident	2	2
— Verbal Bullying	7	11
— Homophobic Incident	2	3
— Other	1	1
Other	15	18
Restraint	1	2
Intervention	1	1
— Online Counselling	1	1
— Home Issues	1	6
— e-Safety	1	2
— Parental Incident	1	1
— Child Protection	1	1
— Safeguarded	1	1
— New Safeguarding Referral	1	1
Totals (unique):	131	263

Categories	Students	Incidents
— Attendance	1	1
— Attendance / Phone call or email	1	1
Totals (unique):	131	263

Report generated on May 03, 2019 at 10:31AM by Jason Badu.

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The SIMS School Report

University Academy of Engineering South Bank, 03 May 2019

School Details

Head Teacher	Mr John Taylor	Governance	Academies	School Years	Year 7 to Year 13
School Phase	Secondary	Local Authority	Southwark	Pupils of this school	704

Exclusions (03 Sep 2018 - 03 May 2019)

	Year 7	Year 8	Year 9	Year 10	Year 11	Year 12	Year 13	All Years
Number of Exclusions	5	40	16	14	15	0	0	90
Total Days	14	112.5	33.5	36	28.5	0	0	224.5
Maximum Duration	5	5	5	5	5	0	0	5
Number of Permanent Exclusions	0	0	0	1	3	0	0	4

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Agenda Item 10

	CONFIDENTIAL
Paper title:	School Improvement Advisor report
Board/Committee:	UAE School Advisory Board meeting
Date of meeting:	09 May 2019
Author:	Rachael Norman, Lambeth School Improvement Advisor
Sponsor:	Chris Mallaband, Chair of SAB
Purpose:	For Review
Recommendation:	The SAB is requested to read the SIA report and prepare questions for the Principal.

Executive Summary

The SAB is requested to read the SIA report and prepare questions for the Principal.

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Lambeth Schools Partnership

SCHOOL IMPROVEMENT ADVISER REPORT

School	UAE
Headteacher	John Taylor
School Improvement Adviser	Rachael Norman
Dates of visit	Autumn: 20/11/18 Spring: 29/03/19 Summer:



2018-19

Autumn 2018

A1. Outcomes for pupils (2018, within the context of the last 3 years and reference to significant groups)

Year 11 data is now more reliable and robust and 4Matrix is being used for analysis.

Year 11 mocks took place in July 2018 using papers on topics students had covered until that point and mocks are due to take place on 3rd December during which students will take full examination papers in most subjects – there will be another full mock at Easter.

A8 is currently 34.57 and P8 is -1.14. 53% of students are entered for Ebacc (2% strong pass, 10% standard pass). Basics are currently 28% 4+ and 10% 5+. Strategic work is being done to ensure there is a strong match between English and maths and regular meetings are being held to look at key groups.

Computer science and triple and combined science are a cause for concern. This is because a skills based curriculum has previously been taught at the UAE so there are significant gaps in knowledge in science and there has been some poor quality teaching in computer science. Some students have now been put on reduced timetables and have been removed from computer science and art to focus on other subjects. Mock results in January are expected to improve, partly because practical elements will be taken into account when grading subjects this time and they weren't previously.

The quality of teaching in year 11 is good and the quality of interventions is generally good. Some period 7 lessons need to be more focussed in terms of the content being taught to ensure that they are addressing and closing gaps and an additional summative assessment may need to take place to ensure that the right gaps are identified. Humanities subjects are doing well and have now completed their courses and are revising. MFL lessons are well delivered and there are strong teachers across the department but leadership is an area for development as there is someone new to the role in post.

There are a range of interventions taking place. 4 groups of children have been identified based on effort and rates of progress as well as prior attainment. Community time/tutor time/period 7 interventions are all teacher or HoD led. These are in all subjects for all prior attainment groups and focus on gaps identified following question level analysis following June examination papers. The intervention groups have not been stagnant and changes have been made in response to formative assessments done in lessons.

The careers adviser is leading on another wave of interventions. There are 4 groups identified and those with low effort and low progress are called "action" and intense work is being done with this group in terms of guiding them towards appropriate pathways based on their current data including visits to colleges. With more able students the adviser is looking at different pathways and university routes.

October half term booster sessions were offered for all subjects. English did a walking, talking mock, maths, art, music and science also ran additional lessons. Other activities were made available to all students via Google classrooms. Easter revision sessions will be delivered by teachers who will be paid to teach them.

Students who are high prior attainers – 14 students – are involved in a programme called the “Access Project” which promotes Russell Group University pathways as well as providing 1:1 tuition. A member of staff is employed for 2 days per week at the UAE as part of the Access Project to focus on this. Each student also has a mentor in the City that they see on a weekly basis.

Talent Ed tutors are providing 21 weeks of tuition, 10 weeks of maths, 10 weeks of English and a review session. They are rigorous in their approach and do a lot of tracking and monitoring. Dulwich tutors are being used for science and former LSBU students are also providing tutors. There is also another tutor in science for year 10, 11 and 13 students.

Low prior attainers are being removed from Spanish to do enhanced English and Maths.

Current year 10 data is showing P8 at -0.83 and A8 at 38.2 with Basics 5+ at 20% and 4+ at 51%.

KS3 data is still not accurate so a new assessment model has been devised and was launched yesterday. The previous model incentivised teachers to submit incorrect and meaningless data in order to show linear progress. An interim model has been in place for a short period which involved submitting a full GCSE grade twice during the year which had to be summative and not formative and purely based on assessment.

The new model involves all students getting a GCSE target for each subject during year 7 which is FFT20 moderated by CAT scores. Formative assessment should happen in every module to establish barriers to learning and identify next steps for teaching and learning using predetermined tasks or tests. Developmental feedback is given to students every 6 weeks and they interact with the feedback in a variety of ways e.g. redrafting. Formative assessments must inform teacher’s planning but the nature of the assessment can be tailored to the department. Mid-year reporting to parents will take place.

At the end of each year there will be a summative assessment in the form of a formal examination with grade boundaries. This will assess a selection from the domain of content covered in that year along with some from previous years. Leaders have suggested 75% in-year content and 25% from previous years. Each student will be given a grade A-E based on an examination percentage.

There will be an annual moderation exercise so that teachers can share their assessments and benchmark grade boundaries. Some students will also take the English and Maths assessments from “GL” or “No more marking”.

Teachers are aware that they need to ensure there is a sufficient range of challenge in their end of year assessments. Teachers need to ensure they are not teaching to the test and tests should not impact on the breadth or depth of the curriculum that is taught.

A2. Quality of teaching, learning and assessment

The quality of teaching is consistently at least good across the school and there is some excellent teaching in some subjects. The Head of English is particularly strong as is the Head of Science.

Learning walk – SIA and HT

Year 9 English – Hamlet and Revenge - Progress trackers and knowledge organisers are evident in books. Marking WWW and EBI evident in some books. Marking for literacy codes are on the front of all books. There is evidence of short tests. One book was last marked 17th September and then there is lots of incomplete work which has not been marked or acknowledged. Another book was last marked on 20th October. There are presentation issues in several books e.g. titles not underlined. This teacher is leaving at end of this term

Year 9 English – students were analysing language in Hamlet. “Duplicatous” was mispronounced and spelt incorrectly by the teacher on the board - she meant duplicitous, however, the Headteacher says that this does not reflect typicality and indeed the rest of her vocabulary was accurate and very high level. There was evidence of good marking in books and WWW and EBI are precise and feedback was useful. There was evidence of pupil response and use of marking for literacy codes. Progress trackers have been completed for module 1. The teacher was skilfully facilitating the completion of an analysis grid and asking questions to prompt further thinking about the text and unpacking key words.

Year 9 English (HoD) - Students were writing paragraphs that were structured using the “Petal” model to consider ways in which Hamlet responds to the ghost. Students were focussed and working in silence and the teacher was circulating and supporting less able students with their learning as well as stretching and challenging the more able through skilful questioning. Use of deep marking was evident in at least one piece of work this term which aligns with the school marking policy. Marking for literacy codes are not on the front of books but there is lots of evidence of marking for literacy in books. Progress trackers have not been completed in any book but these may be in folders.

Displays in all English classrooms and corridors are engaging and inspiring e.g. “Starbooks” display with a particular focus on encouraging students to read high quality literature and use high level vocabulary and promote literacy skills and oracy skills. All displays are colourful and vibrant and in classrooms they provide an additional resource for students to access to support their learning which helps develop their independence and autonomy as learners.

Lesson changeover in the English corridor was extremely orderly and well managed and all teachers were in the corridor ready to meet and greet their students and encourage them to move quickly to their next lesson. The transition between lessons was quick, student behaviour was good and minimal learning time was lost.

English – year 11 – students were debating the proposition “This house believes that Lady Macbeth is a powerful woman”. Students were presenting their arguments and the class were debating them.

Teacher questioning was a strength and there was a strong focus on developing oracy skills in the lesson.

Year 11 maths – reflecting on PLCs and personalised learning plans. Students all had an individual topic list to be working on. Folders contained marked maths papers and based on these, the teacher has created a “Most Wanted” topic list that the class will work through which has identified group priorities but they will also work individually on topics that they need to focus on. Feedback and marking in books is regular and meaningful but the impact is lost due to some students not responding to feedback so it is not always moving them on in their learning. The quality of marking seen in this lesson was a significant improvement on that seen on previous visits.

Year 11 Maths – small class, not all students were present. Marking is regular but comments do not seem to expect a response e.g. “check again” rather than a specific question being asked or task set to which the student can respond. There are several comments that address attitude to learning and presentation rather than mathematical misconceptions and subject specific issues – there might be a need for more balance here. Folders contain marked examination papers. There was a nice relationship between the teacher and students but they were quite passive and didn’t appear to be particularly engaged in the learning.

Displays in maths classrooms are not as neat or as inspiring as they are in English rooms – perhaps some best practice could be shared here. Student work is displayed in some classrooms but with no headings or explanation. Display could be better used as an additional resource to support learning as this is easily achieved in maths. There are some good corridor displays reflecting high expectations e.g. “how to achieve a grade 9 at GCSE”.

Year 7 maths – the class were not particularly settled. There were 4 student lead learners who were helping the other students which is a good technique. They were measuring angles on the bends of a F1 track as a starter which is an engaging way to present a maths problem. There was evidence of deeper marking in the module 1 assessment but aside from this there was little evidence of marking and work was not particularly well presented. Teacher presence could be a little more assertive to ensure there is greater control of the learning. Students may have been working on this activity for 35 minutes but there is some lack of clarity about this.

Year 7 maths – NQT – the students were involved in an engaging task looking at traffic incidents and speed limits. They were engrossed in the task and understood what they had to do. There are some issues with presentation in the books. Lots of worksheets are used and these are poorly stuck in and titles are not underlined. There is some evidence of light marking and slightly more detailed marking in the half termly assessment but this could be improved upon.

Year 7 drama – students were doing an activity in which they passed a dice, they were excited by this activity, perhaps slightly overly so in some cases, but the teacher generally retained control. Folders contain module booklets with clear assessment criteria for activities and evidence of peer assessment WWW and EBI but no teacher assessment. Marking for literacy codes sheets are on the front of folders. Year 11 books are well marked with helpful feedback but it does not always appear to be responded to so some of the impact may be lost.

A class were working in the Learning Resources Centre on “Accelerated Reader”. Students were using lap tops to do their assessments after reading their books. One English lesson per week is devoted to silent reading/accelerated reader and two half hour tutor time sessions. There is a big focus on reading across the school including posters and reward cards. There is a good CPD library for staff containing books read and recommended by teachers.

Enrichment today – Year 8 day 10 - some were on a trip to the Science Museum, another group were going to LSBU to work on robotics, a bake sale is taking place in Borough Market tomorrow and students were decorating the stall today as well as baking cakes at home, some students were going to a local care home to eat lunch with the residents and stay and play games with them. Some students were involved in writing newspaper articles for the school newspaper. Activities are quality assured and work is being done with the external providers to help them deliver the best provision for the students. There is progression built into the programme in terms of complexity of tasks. All of these activities support the acquisition and development of social and cultural capital and align with the wider vision and ethos of the UAE as champions of equality and social justice.

The school now has a homework policy in place.

A3. Effectiveness of leadership and management

A business manager and a HR manager have now been appointed across the trust, Dan Cundy is now running the UTC three days a week and is Executive Headteacher across the trust for two days a week.

English, humanities and science department reviews have all been conducted. Spanish, engineering, computing and business studies will take place later this week and the others will be next week. So far, the findings have verified leaders’ self-evaluations and some teachers have performed better than expected. Leaders feel the school has many strengths and will need to consider how to embed these and enable the school to move forward and improve further in 2018/19.

The SEF has been reviewed and a continuum has been used to show where each element of the school is on a spectrum from good to outstanding which enables more nuanced judgements to take place. There is also an evidence section which includes comments from external advisors to verify and triangulate the SEF judgements. The SLT have also done a SWOT analysis which also aligned with the SEF judgements.

A couple of areas emerged from the SEF that do not currently have a separate section on the SDP including CIEAG (a whole school action plan is currently being produced) and middle leadership development. It was decided that middle leadership development should not have a discrete section on the SDP as their work needs to be a gold thread running through the other elements. Senior leaders need to continue to work to develop and empower middle leaders and increase their capacity.

The school has now moved to using Google Classroom and some teachers are still transitioning to the new way of working. Homework is being set via Google Classroom and some teachers are assigning and marking homework using this system.

The curriculum is currently under review and knowledge organisers are being used as a first stage in this process so CPD has been delivered to support staff in producing these. It is essential that teachers have ownership of this process and devise them to match their curriculum specifically. They will be moderated and quality assured by the SLT and then implications for the curriculum will be discussed.

A4. Personal development, behaviour and welfare

Behaviour seen during observations both in and out of the classroom was generally very good.

Attendance is currently at 93.5% if year 12 and 13 are included but this is skewing the figures down as study periods are marked as absences for the sixth form. Attendance overall for years 7-11 is 95.1%.

There have been 0 permanent exclusions this year. There have been 22 fixed term exclusions this year for a total of 51.5 days. Year 8 have the highest rate of fixed term exclusions at 12 due to a small group of students with more challenging behaviour and individual needs that are being met. Lack of engagement to lessons is the most logged issue (s3 for which you receive an after school detention).

A5. School priorities for 2018/19

These are all detailed in the school improvement plan. Key priorities include:

- KS4 - developing and delivering bespoke interventions based on individual need and progress
- KS5 - Accurate tracking data and intervention programmes based on Pixl techniques
- Development of the knowledge based curriculum
- Further development of the formative assessment model
- Further development of RSE policy
- Ongoing focus on ensuring appropriate challenge in lessons
- Homework policy and use of Google Classrooms as platform for hosting homework
- Fully embedding expectations around engagement for learning
- Further development of SEND provision - cost effectiveness and primary links
- Curriculum review and development
- Accuracy of summative assessment
- Further development of ambition, confidence and social responsibility

Spring 2019

SP1. Outcomes for pupils. current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)

Latest year 11 data based on December mock examinations (testing content already covered).

Total cohort	97
Boys	66
Girls	31

Ebacc

Number of pupils entered for Ebacc	51
% of cohort entered for Ebacc	52.28%
Ebacc standard pass	13.31% (10 students)
Ebacc strong pass	5.015% (5 students)

Ebacc subjects

	English	Maths	Science	Humanities	Languages
Entries	97	97	97	57	81
	100%	100%	100%	59%	84%
Standard	65	51	29	40	31
	67%	53%	30%	41%	32%
Strong	51	25	14	27	19
	53%	26%	14%	28%	20%

English and Maths

English	Entries	9-7	9-5	9-4
	97	14	51	65
Pupils	100%	14.43%	52.58%	67.01%
	-	9-7	9-5	9-4
Maths	Entries	9-7	9-5	9-4
	97	4	25	51
Pupils	100%	4.12%	25.77%	52.58%

Science

		Pupils
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1 Science	97	100%
Grade 4+	38	39.18%
2 Sciences	97	100%
Grade 4+	29	29.90%
3 Sciences	44	45.36%
Grade 4+	18	18.56%
Bio/Chem/Phys	44	45.36%
Grade 4+	18	18.56%

MFL

		Pupils
1 MFL Entry	81	83.51%
Grade 4+	31	31.96%
2 MFL Entries	9	9.28%
Grade 4+	3	3.09%

A8/P8

	A8	P8
English	9.2	-0.48
Maths	6.87	-1.13
Ebacc	10.59	-1.02
Other	11.56	-0.94
Overall	38.21	-0.91

Leaders are confident that the data is secure and accurate.

SP2. Issues arising from the data

The Principal and SLT line manager met with all HoDs after the year 11 mock examinations and all HoDs produced an analysis of their data and an interventions plan; some HoDs produced a detailed narrative and others have done a question level analysis.

There are 5 full time tutors in the school who are doing 1:1 tuition with students based on question level analysis – these are mostly working in core subjects. A raft of interventions are in place for year 11 to support/enhance classroom provision including tutor time and after school intervention programmes run by teachers as well as half term revision school.

Every student is receiving bespoke interventions based on their data and gaps identified in their knowledge, skills and understanding.

SP3. Quality of teaching, learning and assessment

A new KS3 assessment model was launched on November 19th 2018. Austin Sheppard, SLT Associate is now leading on this area to ensure it is systematic, rigorous, quality assured and closely monitored.

All year 7 students are given a GCSE target for every subject based on FFT20 targets and CAT scores. In the new model, formative assessment of every module takes place and it is expected that this will inform teaching and that students will interact with the feedback from this assessment. The precise nature of assessments can vary between departments and there is little prescription around this but teachers must be able to justify the usefulness of their approach. The use of predetermined tasks and tests is not yet happening consistently.

Parents receive a mid-year report which is based around the outcomes of the formative assessment and informs parents what their child has demonstrated they can do and what their next steps should be. Reports have all been quality assured by members of the SLT and there is an expectation that middle leaders will also check these before they are submitted.

Leaders have been mindful of additional workload created by the new assessment model and are ensuring that it is not excessive whilst maintaining high standards. The SIA suggests that the “*DfE Workload Reduction Toolkit*” could be used within the school which would fit into Hannah Dalton’s remit which includes staff wellbeing.

An annual end of year summative assessment will take place and will comprise a formal examination with grade boundaries which tests content covered in that year along with some from previous years. Each student is given an A-E grade based on their examination percentage. Grade boundaries are moderated to increase their reliability and an annual moderation exercise is planned during which teachers will share assessments and grade boundaries. To further secure the integrity of the data, some students will take the English and Maths assessments from GL or “*No More Marking*”.

Risks with the new model have been identified and include insufficient range of challenge in the end of year assessment, teaching to the test and the expectation that students improve their grade over time. The model is a work in progress and issues will be addressed as they arise and the policy will be reviewed in light of these.

At KS4, GCSE grades 1-9 are used and hard data must be used when entering grades on the system. No predictions are made, students have a target grade and current data based on the latest examination and marked coursework. There is currently no data for year 10 as the focus has been on year 11. Next year, year 10 will take an exam in January. Year 11 have done one set of exams in year 11 in December and they got a P8 score of -0.91 based purely on that exam.

Marking reviews took place in November 2018 and March 2019 and the latter had a focus on light marking, formative assessment and homework. Leaders are currently reviewing the marking policy as they are concerned about workload issues around expectations of light marking in light of the new formative feedback policy.

Learning walk

Years 7-10 are on Day 10 today which runs for 4 hours. It was really good to see how successful the Day 10 programme is, having seen it from its early embryonic planning stages through to implementation. The quality of the sessions is extremely high and the calibre of the companies that the school has commissioned to deliver the sessions is excellent and ensures they are extremely engaging and inspiring lessons; the sessions are well planned, well-structured and well managed.

In one classroom year 9 students were totally engaged in building bamboo bicycles. Another group were at Tate Britain doing a project on Van Gogh. In another classroom a group were presenting their "One Standout Idea" working with an IT company called Salesforce as part of their 111 programme. School Food Matters were working with a group of students on the roof where a garden has been constructed and they were totally absorbed in planting onions.

Increasing student agency and taking responsibility are the drivers behind Day 10 with a view to enhancing the acquisition of cultural capital and promoting social justice and mobility. The school has a wonderful hydroponics area in which a variety of things are growing including herbs and tomatoes; this is in an open area which is well respected and cared for by students.

Enrichment at the school has been a priority and is a particular strength as a result. 35 after school activities take place from Tuesday to Thursday each week including a social equalities club. 40 students have signed up for the Duke of Edinburgh Award scheme. An EPQ L2 higher tier structure will be followed by a group of students in year 7 and 8 which will be targeted at more able pupils but will be inclusive of all.

Year 10 Science – students were highly engaged in their learning in both classes, one doing book work and the other doing an experiment about turning moments.

The year 11 Dance GCSE group showed us their performance piece which was excellent, they were confident in their presentation and demonstrated a range of impressive dance skills.

Year 7 RE – students were considering Christian beliefs about the end of life's journey. All students were very focussed at the end of the last lesson on a Friday afternoon. They were able to explain which quotes they had selected and give clear reasons for their responses demonstrating excellent subject knowledge. The teacher had very good subject knowledge and his questioning was strong and showed high expectations. I spoke to one student who told me he was an atheist and said that he is motivated to live a good life due to a desire to be socially acceptable and do what is right. He clearly felt confident about expressing his views which is reflective of the school's inclusive culture.

SP4. Effectiveness of leadership and management

A new Chair of Governors has been in place for a few weeks.

There have been some changes to the senior leadership team which has added additional capacity. Rob Harding is now working across both schools in the trust. Hannah Dalton, a newly appointed Assistant vice principal is starting after Easter and will assume responsibility for curriculum

development and the knowledge based curriculum – there were 58 high calibre applicants for the post including 6 internal candidates. Nick Moore (current Head of Maths) has also been appointed as Assistant Vice Principal. Austin Sheppard is now working at the school as an SLT Associate.

All changes made by the Principal since he started at the school have been considered, integrated and coherent. He is very pragmatic and the changes he has introduced have integrity and are sustainable and becoming embedded with considerable positive impact.

The school will be full in year 7 next year (for the first time). The Sixth form is going to be have a technical and engineering focus along with a full A-Level offer. The engineering vocational course will continue but the UAE sixth form will be academic which will complement the UTC and Lambeth College provisions that offer alternative pathways. A student survey was undertaken to find out about preferred courses and this has been matched with staffing to create a full and attractive offer.

Entry requirements for the A-Level pathway are a minimum of 6 GCSE's at grades 5-9 including maths and English and some individual courses have different entry criteria (largely grades 6-8). The performing arts offer will be expanded in the future and RE won't run next year due to course numbers. Out of the current year 11 cohort of 98, 40 students are projected to meet entry requirements to remain in the sixth form and there are 10 external students. A cohort of 50 is expected in year 12 in 2019/20. An internal Head of Sixth form is being appointed for September 2010 and the AVP will continue to have oversight.

There have been no changes to the middle leadership but as the Head of Maths is becoming AVP, he will need to be replaced so his post is being advertised. There are no particular concerns about the quality of middle leadership and, where issues have been identified, they have been addressed and appropriate support has been put in place.

There are some gaps in the pastoral leadership team in that there are two head of house vacancies and 2 deputy heads of house will be appointed from September to further increase the capacity of the pastoral team.

4 new teachers and a cover supervisor will be starting in September. Leaders are recruiting mid-day meal supervisors to replace the teaching assistants who currently supervise mealtimes. This will greatly increase TA capacity and release an additional 40 hours of their time.

An additional £150k has been secured from the DfE Tailored Support Programme as part of which the Headteacher is working with a system leader, Julia Waters, Headteacher of Ursuline School.

SP5. Personal development, behaviour and welfare

During the visit, lower school students were seen making good use of the outdoor space and were playing well together supervised by TAs in orange jackets. They clearly feel that this is a safe space

in which they can be themselves. Behaviour in social spaces was good and behaviour in lessons was excellent and no low level disruption was seen.

Due to it being Day 10 there was some additional student movement around the building that wouldn't usually occur during lesson time, but this was well managed. Clear systems are in place to pick students up for detentions and address any challenging behaviour issues which are infrequent.

Attendance overall is 92.7% which includes sixth form.

	Year 7	Year 8	Year 9	Year 10	Year 11	Year 12	Year 13	All years
Attendance	95.66%	95.59%	94.90%	93.50%	95.30%	66.38%	60.37%	92.77%
Authorised	3.02%	3.09%	3.44%	3.94%	3.09%	1.05%	1.46%	3.19%
Unauthorised	0.86%	1.13%	1.46%	2.40%	1.52%	15.29%	19.33%	2.58%
PA (>=10%)	11	14	9	17	13	12	23	99
Lates	1.47%	2.52%	3.27%	3.30%	2.53%	7.95%	12.15%	3.14%

Persistent absence is an issue as PA rates are quite high at 99 pupils. The full time attendance officer is addressing this and 2 days of EWO time is brought in to do further follow up. There are 64 persistent absentees in years 7-11, 13 are in year 11 and 17 in year 10. It would be worth doing an analysis of these students to look at their potential impact on P8.

There have been 84 fixed term exclusions this year with a total of 216 days. This number merits further investigation as it seems relatively high but there may be cohort/context specific and required ongoing monitoring. There have been 4 permanent exclusions this academic year, all for bringing knives into the school (3 year 11, 1 year 10). Only 3 of the 4 who have been permanently excluded have gone to a PRU, 1 year 11 has gone to the UTC.

	Year 7	Year 8	Year 9	Year 10	Year 11	All years
Number of exclusions	5	34	15	14	16	84
Total days	14	100.5	32.5	36	33.5	216.5
Maximum Duration	5	5	5	5	5	5
Number of Permanent Exclusion	0	0	0	1	3	4

Summer 2019

General updates
SU1. Outcomes for pupils: current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)
SU2. Issues arising from the data
SU3. Quality of teaching, learning and assessment
SU4. Effectiveness of leadership and management
SU5. Personal development, behaviour and welfare
SU6. Effectiveness of Early Years provision/16 to 19 study programmes
SU7. School priorities 2019-20

SU8. Agreed support 2019-20

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Headteacher's SEF Judgements:

	Autumn 18	Spring 19	Summer 19
OVERALL EFFECTIVENESS	2	2	
Pupil outcomes	2	2	
Teaching, learning and assessment	2	2	
Effectiveness of leadership and management	2	2	
Personal development, behaviour and welfare	2	2	
Sixth Form	2	2	

Autumn 2018

Date	20/11/18
SIA	<i>R. Jemou</i>
Local Authority Officer	

Spring 2019

Date	29/03/19
SIA	<i>R. Jemou</i>

Local Authority Officer	
Summer 2019	
Date	
SIA	
Local Authority Officer	

Question prompts based on the Ofsted framework (updated 23rd August 2016)

OVERALL EFFECTIVENESS

- What is the quality of teaching, learning and assessment?
- Are all key judgements good or outstanding? One of the key judgements may be good, as long as there is convincing evidence that the school is improving this area rapidly and securely towards outstanding.
- Does the school's thoughtful and wide-ranging promotion of pupils' spiritual, moral, social and cultural development and their physical well-being enable pupils to thrive?
- Is Safeguarding is effective?

EFFECTIVENESS OF LEADERSHIP AND MANAGEMENT

- Have leaders and governors created a culture that enables pupils and staff to excel. Are they committed unwaveringly to setting high expectations for the conduct of pupils and staff?
- How would you judge the quality of relationships between staff and pupils?
- Do leaders and governors focus on consistently improving outcomes for all pupils, but especially for disadvantaged pupils? Are they uncompromising in their ambition?
- Have the school's actions secured substantial improvement in progress for disadvantaged pupils. Is Progress rising across the curriculum, including in English and mathematics?
- Do Governors systematically challenge senior leaders so that the effective deployment of staff and resources, including the pupil premium, the primary PE and sport premium, Year 7 literacy and numeracy catch-up premium and special educational needs funding, secures excellent outcomes for pupils. Do Governors shy away from challenging leaders about variations in outcomes for pupil groups and between disadvantaged and other pupils nationally?
- Do leaders and governors have a deep, accurate understanding of the school's effectiveness informed by the views of pupils, parents and staff? Do they use this to keep the school improving by focusing on the impact of their actions in key areas?
- Do leaders and governors use incisive performance management that leads to professional development that encourages, challenges and supports teachers' improvement?
- Is teaching highly effective across the school?
- Do staff reflect on and debate the way they teach? Do they feel deeply involved in their own professional development?
- Have leaders created a climate in which teachers are motivated and trusted to take risks and innovate in ways that are right for their pupils?
- Does a broad and balanced curriculum inspire pupils to learn?
- Does the range of subjects and courses help pupils acquire knowledge, understanding and skills in all aspects of their education, including the humanities and linguistic, mathematical, scientific, technical, social, physical and artistic learning?
- Are pupils' spiritual, moral, social and cultural development and, within this, the promotion of fundamental British values, at the heart of the school's work?
- Do leaders promote equality of opportunity and diversity exceptionally well, for pupils and staff, so that the ethos and culture of the whole school prevents any form of direct or indirect discriminatory behaviour? Do leaders, staff and pupils tolerate prejudiced behaviour?
- Is safeguarding effective? Have leaders and managers created a culture of vigilance where pupils' welfare is actively promoted. Are pupils listened to and do they feel safe? Are staff trained to identify when a pupil may be at risk of neglect, abuse or exploitation and do they report their concerns. Do leaders and staff work effectively with external partners to support pupils who are at risk or who are the subject of a multi-agency plan?
- Do leaders' work to protect pupils from radicalisation and extremism? Do leaders respond swiftly where pupils are vulnerable to these issues? Does high quality training develop staff's vigilance, confidence and competency to challenge pupils' views and encourage debate?

QUALITY OF TEACHING, LEARNING AND ASSESSMENT

- Do teachers demonstrate deep knowledge and understanding of the subjects they teach? Do they use questioning effectively and demonstrate understanding of the ways pupils think about subject content? Do they identify pupils' common misconceptions and act to ensure they are corrected?
- Are lessons planned effectively, making maximum use of lesson time and coordinating lesson resources well? Is pupils' behaviour managed effectively with clear rules that are consistently enforced?
- Do teachers provide adequate time for practice to embed the pupils' knowledge, understanding and skills securely? Do they introduce subject content progressively and constantly demand more of pupils? Do teachers identify and support any pupil who is falling behind, and enable almost all to catch up?
- Do teachers check pupils' understanding systematically and effectively in lessons, offering clearly directed and timely support?
- Do teachers provide pupils with incisive feedback, in line with the school's assessment policy, about what pupils can do to improve their knowledge, understanding and skills? Do pupils use this feedback effectively?
- Do teachers set challenging homework, in line with the school's policy and as appropriate for the age and stage of pupils, that consolidates learning, deepens understanding and prepares pupils very well for work to come?
- Do teachers embed reading, writing and communication and, where appropriate, mathematics well across the curriculum, equipping all pupils with the necessary skills to make progress? For younger children in particular, is phonics teaching highly effective in enabling them to tackle unfamiliar words?
- Are teachers determined that pupils achieve well? Do they encourage pupils to try hard, recognise their efforts and ensure that pupils take pride in all aspects of their work? Do teachers have consistently high expectations of all pupils' attitudes to learning?
- Do pupils love the challenge of learning and are they resilient to failure? Are they curious, interested learners who seek out and use new information to develop, consolidate and deepen their knowledge, understanding and skills? Do they thrive in lessons and regularly take up opportunities to learn through extra-curricular activities?
- Are pupils eager to know how to improve their learning? Do they capitalise on opportunities to use feedback, written or oral, to improve?
- Are parents provided with clear and timely information on how well their child is progressing and how well their child is doing in relation to the standards expected? Are parents given guidance about how to support their child to improve?
- Are teachers quick to challenge stereotypes and the use of derogatory language in lessons and around the school? Do resources and teaching strategies reflect and value the diversity of pupils' experiences and provide pupils with a comprehensive understanding of people and communities beyond their immediate experience?

PERSONAL DEVELOPMENT, BEHAVIOUR AND WELFARE

- Are pupils confident, self-assured learners? Do their attitudes to learning have a strong, positive impact on their progress? Are they proud of their achievements and of their school?
- Do pupils discuss and debate issues in a considered way, showing respect for others' ideas and points of view?
- In secondary schools, does high quality, impartial careers guidance help pupils to make informed choices about which courses suit their academic needs and aspirations? Are they prepared for the next stage of their education, employment, self-employment or training?
- Do pupils understand how their education equips them with the behaviours and attitudes necessary for success in their next stage of education, training or employment and for their adult life?
- Do pupils value their education and rarely miss a day at school? Are any groups of pupils disadvantaged by low attendance? Is the attendance of pupils who have previously had exceptionally high rates of absence rising quickly towards the national average?
- Does pupils' impeccable conduct reflect the school's effective strategies to promote high standards of behaviour? Are pupils self-disciplined? How common are incidences of low-level disruption?
- For individuals or groups with particular needs, is there sustained improvement in pupils' behaviour? Where standards of behaviour were already excellent, have they been maintained?
- Do pupils work with the school to prevent all forms of bullying, including online bullying and prejudice-based bullying?

- Do staff and pupils deal effectively with instances of bullying behaviour and/or use of derogatory or aggressive language?
- Does the school have an open culture that actively promotes all aspects of pupils' welfare? Are pupils safe and do they feel safe at all times? Do they understand how to keep themselves and others safe in different situations and settings? Do pupils trust leaders to take rapid and appropriate action to resolve any concerns they have?
- Can pupils explain accurately and confidently how to keep themselves healthy? Do they make informed choices about healthy eating, fitness and their emotional and mental well-being? Do they have an age-appropriate understanding of healthy relationships and are they confident in staying safe from abuse and exploitation?
- Do pupils have a good understanding of how to stay safe online and of the dangers of inappropriate use of mobile technology and social networking sites?
- Does pupils' spiritual, moral, social and cultural development equip them to be thoughtful, caring and active citizens in school and in wider society?

OUTCOMES FOR PUPILS

- Throughout each year group and across the curriculum, including in English and mathematics, do current pupils make substantial and sustained progress, develop excellent knowledge, understanding and skills, considering their different starting points?
- Does the progress across the curriculum of disadvantaged pupils and pupils who have special educational needs and/or disabilities currently on roll match or is it improving towards that of other pupils with the same starting points?
- Are pupils typically able to articulate their knowledge and understanding clearly in an age-appropriate way? Can they hold thoughtful conversations about them with each other and adults?
- Do pupils read widely and often across subjects to a high standard, with fluency and comprehension appropriate to their age? Do pupils in Year 1 achieve highly in the national phonics check?
- For pupils generally, and specifically for disadvantaged pupils and pupils who have special educational needs and/or disabilities, is progress above average across nearly all subject areas?
- How many CLA do you have? Are they making progress in line with others nationally?
- From different starting points, is progress in English and in mathematics high compared with national figures? Does the progress of disadvantaged pupils from different starting points match or is improving towards that of other pupils nationally?
- Is the attainment of almost all groups of pupils broadly in line with national averages? If below these, is it improving rapidly?
- Are pupils exceptionally well prepared for the next stage of their education, training or employment and have they attained relevant qualifications? Compared with the national average for all pupils, do higher proportions of pupils and of disadvantaged pupils, progress on to a range of higher and further education establishments, apprenticeships, employment or training? Do these destinations strongly support their career plans?

EARLY YEARS PROVISION

- Is the pursuit of excellence by leaders and managers shown by an uncompromising, highly successful drive to improve outcomes or maintain the highest levels of outcomes, for all children over a sustained period?
- Does incisive evaluation of the impact of staff's practice lead to rigorous performance management and supervision? Does highly focused professional development improve the quality of teaching?
- Is Safeguarding effective?
- Have there been any breaches of statutory welfare requirements?
- Is children's health, safety and well-being enhanced by the vigilant and consistent implementation of robust policies and procedures?
- Do leaders use highly successful strategies to engage parents and carers, including those from different groups, in their children's learning in school and at home?
- Is there a highly stimulating environment and exceptional organisation of the curriculum? Does this provide rich, varied and imaginative experiences?

- Is teaching consistently of a very high quality, inspirational and worthy of dissemination to others? Is it highly responsive to children's needs?
- Is assessment accurate and based on high quality observations? Does it include all those involved in the child's learning and development? Is provision across all areas of learning planned meticulously? Is it based on rigorous and sharply focused assessments of children's achievement so that every child undertakes highly challenging activities?
- Are children highly motivated and eager to join in? Do they consistently demonstrate curiosity, imagination and concentration? Are they highly responsive to adults and each other? Do they distract others or become distracted easily themselves?
- Are children developing a good understanding of how to keep themselves safe and manage risks? Do they demonstrate positive behaviour and high levels of self-control, cooperation and respect for others?
- Do children make consistently high rates of progress in relation to their starting points and are they well prepared academically, socially and emotionally for the next stage of their education? Are almost all children, including children who have special educational needs and/or disabilities, disadvantaged children and the most able, making substantial and sustained progress?
- Have gaps between the attainment of groups of children and all children nationally, including disadvantaged children closed or are they closing rapidly? Are any gaps between areas of learning closing?

16 TO 19 STUDY PROGRAMMES

- Do leaders pursue excellence? Have they improved provision and outcomes rapidly and reduced achievement gaps between groups by monitoring the quality of teaching, learning and assessment as well as learners' retention, progress and skill development?
- Do leaders plan, manage and evaluate study programmes so that learners undertake highly individualised and challenging learning that builds on their prior attainment, meets all the requirements of 16 to 19 provision and prepares them very well for future employment?
- Do learners without GCSE grades A* to C in either English or mathematics follow appropriately tailored courses in English and/or mathematics? Do the majority make substantial and sustained progress towards grade C or above?
- Does high quality impartial careers guidance ensure that learners follow study programmes that build on their prior attainment and enable them to develop clear, ambitious and realistic plans for their future? Do learners understand the options available and are they informed about local and national skills needs?
- Does teaching, learning and assessment support and challenge learners to make sustained and substantial progress in all aspects of their study programme? Does teaching enables learners who fall behind to catch up swiftly and the most able to excel?
- Are learners confident and do they conduct themselves well? Are they punctual? Do they have excellent personal, social and employability skills and do they undertake high quality non-qualification activities and work experience that matches their needs? Are attendance rates high?
- Are learners safe and do they feel safe? Are they thoughtful, caring and respectful citizens? Do they take responsibility for keeping themselves safe and healthy and contribute to wider society and life in Britain?
- Throughout the time spent on their study programmes, do learners and groups of learners make substantial and sustained progress from their starting points? Are rates of retention high for almost all groups of learners? Are any gaps in the progress or retention of groups with similar starting points closing?
- Do almost all learners progress swiftly to higher levels during their study programme? Do almost all learners complete their study programmes, achieve qualifications relevant to their career aims and move on to sustained education, employment, training or an apprenticeship?
- Is progress on level 3 qualifications in terms of value added above average across nearly all subjects?

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Lambeth Schools Partnership

SCHOOL IMPROVEMENT ADVISER REPORT

School	UAE
Headteacher	John Taylor
School Improvement Adviser	Rachael Norman
Dates of visit	Autumn: 20/11/18 Spring: 29/03/19 Summer:



Autumn 2018

A1. Outcomes for pupils (2018, within the context of the last 3 years and reference to significant groups)

Year 11 data is now more reliable and robust and 4Matrix is being used for analysis.

Year 11 mocks took place in July 2018 using papers on topics students had covered until that point and mocks are due to take place on 3rd December during which students will take full examination papers in most subjects – there will be another full mock at Easter.

A8 is currently 34.57 and P8 is -1.14. 53% of students are entered for Ebacc (2% strong pass, 10% standard pass). Basics are currently 28% 4+ and 10% 5+. Strategic work is being done to ensure there is a strong match between English and maths and regular meetings are being held to look at key groups.

Computer science and triple and combined science are a cause for concern. This is because a skills based curriculum has previously been taught at the UAE so there are significant gaps in knowledge in science and there has been some poor quality teaching in computer science. Some students have now been put on reduced timetables and have been removed from computer science and art to focus on other subjects. Mock results in January are expected to improve, partly because practical elements will be taken into account when grading subjects this time and they weren't previously.

The quality of teaching in year 11 is good and the quality of interventions is generally good. Some period 7 lessons need to be more focussed in terms of the content being taught to ensure that they are addressing and closing gaps and an additional summative assessment may need to take place to ensure that the right gaps are identified. Humanities subjects are doing well and have now completed their courses and are revising. MFL lessons are well delivered and there are strong teachers across the department but leadership is an area for development as there is someone new to the role in post.

There are a range of interventions taking place. 4 groups of children have been identified based on effort and rates of progress as well as prior attainment. Community time/tutor time/period 7 interventions are all teacher or HoD led. These are in all subjects for all prior attainment groups and focus on gaps identified following question level analysis following June examination papers. The intervention groups have not been stagnant and changes have been made in response to formative assessments done in lessons.

The careers adviser is leading on another wave of interventions. There are 4 groups identified and those with low effort and low progress are called "action" and intense work is being done with this group in terms of guiding them towards appropriate pathways based on their current data including visits to colleges. With more able students the adviser is looking at different pathways and university routes.

October half term booster sessions were offered for all subjects. English did a walking, talking mock, maths, art, music and science also ran additional lessons. Other activities were made available to all students via Google classrooms. Easter revision sessions will be delivered by teachers who will be paid to teach them.

Students who are high prior attainers – 14 students – are involved in a programme called the “Access Project” which promotes Russell Group University pathways as well as providing 1:1 tuition. A member of staff is employed for 2 days per week at the UAE as part of the Access Project to focus on this. Each student also has a mentor in the City that they see on a weekly basis.

Talent Ed tutors are providing 21 weeks of tuition, 10 weeks of maths, 10 weeks of English and a review session. They are rigorous in their approach and do a lot of tracking and monitoring. Dulwich tutors are being used for science and former LSBU students are also providing tutors. There is also another tutor in science for year 10, 11 and 13 students.

Low prior attainers are being removed from Spanish to do enhanced English and Maths.

Current year 10 data is showing P8 at -0.83 and A8 at 38.2 with Basics 5+ at 20% and 4+ at 51%.

KS3 data is still not accurate so a new assessment model has been devised and was launched yesterday. The previous model incentivised teachers to submit incorrect and meaningless data in order to show linear progress. An interim model has been in place for a short period which involved submitting a full GCSE grade twice during the year which had to be summative and not formative and purely based on assessment.

The new model involves all students getting a GCSE target for each subject during year 7 which is FFT20 moderated by CAT scores. Formative assessment should happen in every module to establish barriers to learning and identify next steps for teaching and learning using predetermined tasks or tests. Developmental feedback is given to students every 6 weeks and they interact with the feedback in a variety of ways e.g. redrafting. Formative assessments must inform teacher’s planning but the nature of the assessment can be tailored to the department. Mid-year reporting to parents will take place.

At the end of each year there will be a summative assessment in the form of a formal examination with grade boundaries. This will assess a selection from the domain of content covered in that year along with some from previous years. Leaders have suggested 75% in-year content and 25% from previous years. Each student will be given a grade A-E based on an examination percentage.

There will be an annual moderation exercise so that teachers can share their assessments and benchmark grade boundaries. Some students will also take the English and Maths assessments from “GL” or “No more marking”.

Teachers are aware that they need to ensure there is a sufficient range of challenge in their end of year assessments. Teachers need to ensure they are not teaching to the test and tests should not impact on the breadth or depth of the curriculum that is taught.

A2. Quality of teaching, learning and assessment

The quality of teaching is consistently at least good across the school and there is some excellent teaching in some subjects. The Head of English is particularly strong as is the Head of Science.

Learning walk – SIA and HT

Year 9 English – Hamlet and Revenge - Progress trackers and knowledge organisers are evident in books. Marking WWW and EBI evident in some books. Marking for literacy codes are on the front of all books. There is evidence of short tests. One book was last marked 17th September and then there is lots of incomplete work which has not been marked or acknowledged. Another book was last marked on 20th October. There are presentation issues in several books e.g. titles not underlined. This teacher is leaving at end of this term

Year 9 English – students were analysing language in Hamlet. “Duplicatous” was mispronounced and spelt incorrectly by the teacher on the board - she meant duplicitous, however, the Headteacher says that this does not reflect typicality and indeed the rest of her vocabulary was accurate and very high level. There was evidence of good marking in books and WWW and EBI are precise and feedback was useful. There was evidence of pupil response and use of marking for literacy codes. Progress trackers have been completed for module 1. The teacher was skilfully facilitating the completion of an analysis grid and asking questions to prompt further thinking about the text and unpacking key words.

Year 9 English (HoD) - Students were writing paragraphs that were structured using the “Petal” model to consider ways in which Hamlet responds to the ghost. Students were focussed and working in silence and the teacher was circulating and supporting less able students with their learning as well as stretching and challenging the more able through skilful questioning. Use of deep marking was evident in at least one piece of work this term which aligns with the school marking policy. Marking for literacy codes are not on the front of books but there is lots of evidence of marking for literacy in books. Progress trackers have not been completed in any book but these may be in folders.

Displays in all English classrooms and corridors are engaging and inspiring e.g. “Starbooks” display with a particular focus on encouraging students to read high quality literature and use high level vocabulary and promote literacy skills and oracy skills. All displays are colourful and vibrant and in classrooms they provide an additional resource for students to access to support their learning which helps develop their independence and autonomy as learners.

Lesson changeover in the English corridor was extremely orderly and well managed and all teachers were in the corridor ready to meet and greet their students and encourage them to move quickly to their next lesson. The transition between lessons was quick, student behaviour was good and minimal learning time was lost.

English – year 11 – students were debating the proposition “This house believes that Lady Macbeth is a powerful woman”. Students were presenting their arguments and the class were debating them.

Teacher questioning was a strength and there was a strong focus on developing oracy skills in the lesson.

Year 11 maths – reflecting on PLCs and personalised learning plans. Students all had an individual topic list to be working on. Folders contained marked maths papers and based on these, the teacher has created a “Most Wanted” topic list that the class will work through which has identified group priorities but they will also work individually on topics that they need to focus on. Feedback and marking in books is regular and meaningful but the impact is lost due to some students not responding to feedback so it is not always moving them on in their learning. The quality of marking seen in this lesson was a significant improvement on that seen on previous visits.

Year 11 Maths – small class, not all students were present. Marking is regular but comments do not seem to expect a response e.g. “check again” rather than a specific question being asked or task set to which the student can respond. There are several comments that address attitude to learning and presentation rather than mathematical misconceptions and subject specific issues – there might be a need for more balance here. Folders contain marked examination papers. There was a nice relationship between the teacher and students but they were quite passive and didn’t appear to be particularly engaged in the learning.

Displays in maths classrooms are not as neat or as inspiring as they are in English rooms – perhaps some best practice could be shared here. Student work is displayed in some classrooms but with no headings or explanation. Display could be better used as an additional resource to support learning as this is easily achieved in maths. There are some good corridor displays reflecting high expectations e.g. “how to achieve a grade 9 at GCSE”.

Year 7 maths – the class were not particularly settled. There were 4 student lead learners who were helping the other students which is a good technique. They were measuring angles on the bends of a F1 track as a starter which is an engaging way to present a maths problem. There was evidence of deeper marking in the module 1 assessment but aside from this there was little evidence of marking and work was not particularly well presented. Teacher presence could be a little more assertive to ensure there is greater control of the learning. Students may have been working on this activity for 35 minutes but there is some lack of clarity about this.

Year 7 maths – NQT – the students were involved in an engaging task looking at traffic incidents and speed limits. They were engrossed in the task and understood what they had to do. There are some issues with presentation in the books. Lots of worksheets are used and these are poorly stuck in and titles are not underlined. There is some evidence of light marking and slightly more detailed marking in the half termly assessment but this could be improved upon.

Year 7 drama – students were doing an activity in which they passed a dice, they were excited by this activity, perhaps slightly overly so in some cases, but the teacher generally retained control. Folders contain module booklets with clear assessment criteria for activities and evidence of peer assessment WWW and EBI but no teacher assessment. Marking for literacy codes sheets are on the front of folders. Year 11 books are well marked with helpful feedback but it does not always appear to be responded to so some of the impact may be lost.

A class were working in the Learning Resources Centre on “Accelerated Reader”. Students were using lap tops to do their assessments after reading their books. One English lesson per week is devoted to silent reading/accelerated reader and two half hour tutor time sessions. There is a big focus on reading across the school including posters and reward cards. There is a good CPD library for staff containing books read and recommended by teachers.

Enrichment today – Year 8 day 10 - some were on a trip to the Science Museum, another group were going to LSBU to work on robotics, a bake sale is taking place in Borough Market tomorrow and students were decorating the stall today as well as baking cakes at home, some students were going to a local care home to eat lunch with the residents and stay and play games with them. Some students were involved in writing newspaper articles for the school newspaper. Activities are quality assured and work is being done with the external providers to help them deliver the best provision for the students. There is progression built into the programme in terms of complexity of tasks. All of these activities support the acquisition and development of social and cultural capital and align with the wider vision and ethos of the UAE as champions of equality and social justice.

The school now has a homework policy in place.

A3. Effectiveness of leadership and management

A business manager and a HR manager have now been appointed across the trust, Dan Cundy is now running the UTC three days a week and is Executive Headteacher across the trust for two days a week.

English, humanities and science department reviews have all been conducted. Spanish, engineering, computing and business studies will take place later this week and the others will be next week. So far, the findings have verified leaders’ self-evaluations and some teachers have performed better than expected. Leaders feel the school has many strengths and will need to consider how to embed these and enable the school to move forward and improve further in 2018/19.

The SEF has been reviewed and a continuum has been used to show where each element of the school is on a spectrum from good to outstanding which enables more nuanced judgements to take place. There is also an evidence section which includes comments from external advisors to verify and triangulate the SEF judgements. The SLT have also done a SWOT analysis which also aligned with the SEF judgements.

A couple of areas emerged from the SEF that do not currently have a separate section on the SDP including CIEAG (a whole school action plan is currently being produced) and middle leadership development. It was decided that middle leadership development should not have a discrete section on the SDP as their work needs to be a gold thread running through the other elements. Senior leaders need to continue to work to develop and empower middle leaders and increase their capacity.

The school has now moved to using Google Classroom and some teachers are still transitioning to the new way of working. Homework is being set via Google Classroom and some teachers are assigning and marking homework using this system.

The curriculum is currently under review and knowledge organisers are being used as a first stage in this process so CPD has been delivered to support staff in producing these. It is essential that teachers have ownership of this process and devise them to match their curriculum specifically. They will be moderated and quality assured by the SLT and then implications for the curriculum will be discussed.

A4. Personal development, behaviour and welfare

Behaviour seen during observations both in and out of the classroom was generally very good.

Attendance is currently at 93.5% if year 12 and 13 are included but this is skewing the figures down as study periods are marked as absences for the sixth form. Attendance overall for years 7-11 is 95.1%.

There have been 0 permanent exclusions this year. There have been 22 fixed term exclusions this year for a total of 51.5 days. Year 8 have the highest rate of fixed term exclusions at 12 due to a small group of students with more challenging behaviour and individual needs that are being met. Lack of engagement to lessons is the most logged issue (s3 for which you receive an after school detention).

A5. School priorities for 2018/19

These are all detailed in the school improvement plan. Key priorities include:

- KS4 - developing and delivering bespoke interventions based on individual need and progress
- KS5 – Accurate tracking data and intervention programmes based on Pixl techniques
- Development of the knowledge based curriculum
- Further development of the formative assessment model
- Further development of RSE policy
- Ongoing focus on ensuring appropriate challenge in lessons
- Homework policy and use of Google Classrooms as platform for hosting homework
- Fully embedding expectations around engagement for learning
- Further development of SEND provision – cost effectiveness and primary links
- Curriculum review and development
- Accuracy of summative assessment
- Further development of ambition, confidence and social responsibility

Spring 2019

SP1. Outcomes for pupils. current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)

Latest year 11 data based on December mock examinations (testing content already covered).

Total cohort	97
Boys	66
Girls	31

Ebacc

Number of pupils entered for Ebacc	51
% of cohort entered for Ebacc	52.28%
Ebacc standard pass	13.31% (10 students)
Ebacc strong pass	5.015% (5 students)

Ebacc subjects

	English	Maths	Science	Humanities	Languages
Entries	97	97	97	57	81
	100%	100%	100%	59%	84%
Standard	65	51	29	40	31
	67%	53%	30%	41%	32%
Strong	51	25	14	27	19
	53%	26%	14%	28%	20%

English and Maths

English	Entries	9-7	9-5	9-4
	97	14	51	65
Pupils	100%	14.43%	52.58%	67.01%
	-	9-7	9-5	9-4
Maths	Entries	9-7	9-5	9-4
	97	4	25	51
Pupils	100%	4.12%	25.77%	52.58%

Science

		Pupils
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1 Science	97	100%
Grade 4+	38	39.18%
2 Sciences	97	100%
Grade 4+	29	29.90%
3 Sciences	44	45.36%
Grade 4+	18	18.56%
Bio/Chem/Phys	44	45.36%
Grade 4+	18	18.56%

MFL

		Pupils
1 MFL Entry	81	83.51%
Grade 4+	31	31.96%
2 MFL Entries	9	9.28%
Grade 4+	3	3.09%

A8/P8

	A8	P8
English	9.2	-0.48
Maths	6.87	-1.13
Ebacc	10.59	-1.02
Other	11.56	-0.94
Overall	38.21	-0.91

Leaders are confident that the data is secure and accurate.

SP2. Issues arising from the data

The Principal and SLT line manager met with all HoDs after the year 11 mock examinations and all HoDs produced an analysis of their data and an interventions plan; some HoDs produced a detailed narrative and others have done a question level analysis.

There are 5 full time tutors in the school who are doing 1:1 tuition with students based on question level analysis – these are mostly working in core subjects. A raft of interventions are in place for year 11 to support/enhance classroom provision including tutor time and after school intervention programmes run by teachers as well as half term revision school.

Every student is receiving bespoke interventions based on their data and gaps identified in their knowledge, skills and understanding.

SP3. Quality of teaching, learning and assessment

A new KS3 assessment model was launched on November 19th 2018. Austin Sheppard, SLT Associate is now leading on this area to ensure it is systematic, rigorous, quality assured and closely monitored.

All year 7 students are given a GCSE target for every subject based on FFT20 targets and CAT scores. In the new model, formative assessment of every module takes place and it is expected that this will inform teaching and that students will interact with the feedback from this assessment. The precise nature of assessments can vary between departments and there is little prescription around this but teachers must be able to justify the usefulness of their approach. The use of predetermined tasks and tests is not yet happening consistently.

Parents receive a mid-year report which is based around the outcomes of the formative assessment and informs parents what their child has demonstrated they can do and what their next steps should be. Reports have all been quality assured by members of the SLT and there is an expectation that middle leaders will also check these before they are submitted.

Leaders have been mindful of additional workload created by the new assessment model and are ensuring that it is not excessive whilst maintaining high standards. The SIA suggests that the “*DfE Workload Reduction Toolkit*” could be used within the school which would fit into Hannah Dalton’s remit which includes staff wellbeing.

An annual end of year summative assessment will take place and will comprise a formal examination with grade boundaries which tests content covered in that year along with some from previous years. Each student is given an A-E grade based on their examination percentage. Grade boundaries are moderated to increase their reliability and an annual moderation exercise is planned during which teachers will share assessments and grade boundaries. To further secure the integrity of the data, some students will take the English and Maths assessments from GL or “*No More Marking*”.

Risks with the new model have been identified and include insufficient range of challenge in the end of year assessment, teaching to the test and the expectation that students improve their grade over time. The model is a work in progress and issues will be addressed as they arise and the policy will be reviewed in light of these.

At KS4, GCSE grades 1-9 are used and hard data must be used when entering grades on the system. No predictions are made, students have a target grade and current data based on the latest examination and marked coursework. There is currently no data for year 10 as the focus has been on year 11. Next year, year 10 will take an exam in January. Year 11 have done one set of exams in year 11 in December and they got a P8 score of -0.91 based purely on that exam.

Marking reviews took place in November 2018 and March 2019 and the latter had a focus on light marking, formative assessment and homework. Leaders are currently reviewing the marking policy as they are concerned about workload issues around expectations of light marking in light of the new formative feedback policy.

Learning walk

Years 7-10 are on Day 10 today which runs for 4 hours. It was really good to see how successful the Day 10 programme is, having seen it from its early embryonic planning stages through to implementation. The quality of the sessions is extremely high and the calibre of the companies that the school has commissioned to deliver the sessions is excellent and ensures they are extremely engaging and inspiring lessons; the sessions are well planned, well-structured and well managed.

In one classroom year 9 students were totally engaged in building bamboo bicycles. Another group were at Tate Britain doing a project on Van Gogh. In another classroom a group were presenting their "One Standout Idea" working with an IT company called Salesforce as part of their m programme. School Food Matters were working with a group of students on the roof where a garden has been constructed and they were totally absorbed in planting onions.

Increasing student agency and taking responsibility are the drivers behind Day 10 with a view to enhancing the acquisition of cultural capital and promoting social justice and mobility. The school has a wonderful hydroponics area in which a variety of things are growing including herbs and tomatoes; this is in an open area which is well respected and cared for by students.

Enrichment at the school has been a priority and is a particular strength as a result. 35 after school activities take place from Tuesday to Thursday each week including a social equalities club. 40 students have signed up for the Duke of Edinburgh Award scheme. An EPQ L2 higher tier structure will be followed by a group of students in year 7 and 8 which will be targeted at more able pupils but will be inclusive of all.

Year 10 Science – students were highly engaged in their learning in both classes, one doing book work and the other doing an experiment about turning moments.

The year 11 Dance GCSE group showed us their performance piece which was excellent, they were confident in their presentation and demonstrated a range of impressive dance skills.

Year 7 RE – students were considering Christian beliefs about the end of life's journey. All students were very focussed at the end of the last lesson on a Friday afternoon. They were able to explain which quotes they had selected and give clear reasons for their responses demonstrating excellent subject knowledge. The teacher had very good subject knowledge and his questioning was strong and showed high expectations. I spoke to one student who told me he was an atheist and said that he is motivated to live a good life due to a desire to be socially acceptable and do what is right. He clearly felt confident about expressing his views which is reflective of the school's inclusive culture.

SP4. Effectiveness of leadership and management

A new Chair of Governors has been in place for a few weeks.

There have been some changes to the senior leadership team which has added additional capacity. Rob Harding is now working across both schools in the trust. Hannah Dalton, a newly appointed Assistant vice principal is starting after Easter and will assume responsibility for curriculum

development and the knowledge based curriculum – there were 58 high calibre applicants for the post including 6 internal candidates. Nick Moore (current Head of Maths) has also been appointed as Assistant Vice Principal. Austin Sheppard is now working at the school as an SLT Associate.

All changes made by the Principal since he started at the school have been considered, integrated and coherent. He is very pragmatic and the changes he has introduced have integrity and are sustainable and becoming embedded with considerable positive impact.

The school will be full in year 7 next year (for the first time). The Sixth form is going to be have a technical and engineering focus along with a full A-Level offer. The engineering vocational course will continue but the UAE sixth form will be academic which will complement the UTC and Lambeth College provisions that offer alternative pathways. A student survey was undertaken to find out about preferred courses and this has been matched with staffing to create a full and attractive offer.

Entry requirements for the A-Level pathway are a minimum of 6 GCSE's at grades 5-9 including maths and English and some individual courses have different entry criteria (largely grades 6-8). The performing arts offer will be expanded in the future and RE won't run next year due to course numbers. Out of the current year 11 cohort of 98, 40 students are projected to meet entry requirements to remain in the sixth form and there are 10 external students. A cohort of 50 is expected in year 12 in 2019/20. An internal Head of Sixth form is being appointed for September 2010 and the AVP will continue to have oversight.

There have been no changes to the middle leadership but as the Head of Maths is becoming AVP, he will need to be replaced so his post is being advertised. There are no particular concerns about the quality of middle leadership and, where issues have been identified, they have been addressed and appropriate support has been put in place.

There are some gaps in the pastoral leadership team in that there are two head of house vacancies and 2 deputy heads of house will be appointed from September to further increase the capacity of the pastoral team.

4 new teachers and a cover supervisor will be starting in September. Leaders are recruiting mid-day meal supervisors to replace the teaching assistants who currently supervise mealtimes. This will greatly increase TA capacity and release an additional 40 hours of their time.

An additional £150k has been secured from the DfE Tailored Support Programme as part of which the Headteacher is working with a system leader, Julia Waters, Headteacher of Ursuline School.

SP5. Personal development, behaviour and welfare

During the visit, lower school students were seen making good use of the outdoor space and were playing well together supervised by TAs in orange jackets. They clearly feel that this is a safe space

in which they can be themselves. Behaviour in social spaces was good and behaviour in lessons was excellent and no low level disruption was seen.

Due to it being Day 10 there was some additional student movement around the building that wouldn't usually occur during lesson time, but this was well managed. Clear systems are in place to pick students up for detentions and address any challenging behaviour issues which are infrequent.

Attendance overall is 92.7% which includes sixth form.

	Year 7	Year 8	Year 9	Year 10	Year 11	Year 12	Year 13	All years
Attendance	95.66%	95.59%	94.90%	93.50%	95.30%	66.38%	60.37%	92.77%
Authorised	3.02%	3.09%	3.44%	3.94%	3.09%	1.05%	1.46%	3.19%
Unauthorised	0.86%	1.13%	1.46%	2.40%	1.52%	15.29%	19.33%	2.58%
PA (>=10%)	11	14	9	17	13	12	23	99
Lates	1.47%	2.52%	3.27%	3.30%	2.53%	7.95%	12.15%	3.14%

Persistent absence is an issue as PA rates are quite high at 99 pupils. The full time attendance officer is addressing this and 2 days of EWO time is brought in to do further follow up. There are 64 persistent absentees in years 7-11, 13 are in year 11 and 17 in year 10. It would be worth doing an analysis of these students to look at their potential impact on P8.

There have been 84 fixed term exclusions this year with a total of 216 days. This number merits further investigation as it seems relatively high but there may be cohort/context specific and required ongoing monitoring. There have been 4 permanent exclusions this academic year, all for bringing knives into the school (3 year 11, 1 year 10). Only 3 of the 4 who have been permanently excluded have gone to a PRU, 1 year 11 has gone to the UTC.

	Year 7	Year 8	Year 9	Year 10	Year 11	All years
Number of exclusions	5	34	15	14	16	84
Total days	14	100.5	32.5	36	33.5	216.5
Maximum Duration	5	5	5	5	5	5
Number of Permanent Exclusion	0	0	0	1	3	4

Summer 2019

General updates
SU1. Outcomes for pupils: current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)
SU2. Issues arising from the data
SU3. Quality of teaching, learning and assessment
SU4. Effectiveness of leadership and management
SU5. Personal development, behaviour and welfare
SU6. Effectiveness of Early Years provision/16 to 19 study programmes
SU7. School priorities 2019-20

SU8. Agreed support 2019-20

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Headteacher's SEF Judgements:

	Autumn 18	Spring 19	Summer 19
OVERALL EFFECTIVENESS	2	2	
Pupil outcomes	2	2	
Teaching, learning and assessment	2	2	
Effectiveness of leadership and management	2	2	
Personal development, behaviour and welfare	2	2	
Sixth Form	2	2	

Autumn 2018

Date	20/11/18
SIA	<i>R. Jemau</i>
Local Authority Officer	
Spring 2019	
Date	29/03/19
SIA	<i>R. Jemau</i>

Local Authority Officer	
Summer 2019	
Date	
SIA	
Local Authority Officer	

Question prompts based on the Ofsted framework (updated 23rd August 2016)

OVERALL EFFECTIVENESS

- What is the quality of teaching, learning and assessment?
- Are all key judgements good or outstanding? One of the key judgements may be good, as long as there is convincing evidence that the school is improving this area rapidly and securely towards outstanding.
- Does the school's thoughtful and wide-ranging promotion of pupils' spiritual, moral, social and cultural development and their physical well-being enable pupils to thrive?
- Is Safeguarding is effective?

EFFECTIVENESS OF LEADERSHIP AND MANAGEMENT

- Have leaders and governors created a culture that enables pupils and staff to excel. Are they committed unwaveringly to setting high expectations for the conduct of pupils and staff?
- How would you judge the quality of relationships between staff and pupils?
- Do leaders and governors focus on consistently improving outcomes for all pupils, but especially for disadvantaged pupils? Are they uncompromising in their ambition?
- Have the school's actions secured substantial improvement in progress for disadvantaged pupils. Is Progress rising across the curriculum, including in English and mathematics?
- Do Governors systematically challenge senior leaders so that the effective deployment of staff and resources, including the pupil premium, the primary PE and sport premium, Year 7 literacy and numeracy catch-up premium and special educational needs funding, secures excellent outcomes for pupils. Do Governors shy away from challenging leaders about variations in outcomes for pupil groups and between disadvantaged and other pupils nationally?
- Do leaders and governors have a deep, accurate understanding of the school's effectiveness informed by the views of pupils, parents and staff? Do they use this to keep the school improving by focusing on the impact of their actions in key areas?
- Do leaders and governors use incisive performance management that leads to professional development that encourages, challenges and supports teachers' improvement?
- Is teaching highly effective across the school?
- Do staff reflect on and debate the way they teach? Do they feel deeply involved in their own professional development?
- Have leaders created a climate in which teachers are motivated and trusted to take risks and innovate in ways that are right for their pupils?
- Does a broad and balanced curriculum inspire pupils to learn?
- Does the range of subjects and courses help pupils acquire knowledge, understanding and skills in all aspects of their education, including the humanities and linguistic, mathematical, scientific, technical, social, physical and artistic learning?
- Are pupils' spiritual, moral, social and cultural development and, within this, the promotion of fundamental British values, at the heart of the school's work?
- Do leaders promote equality of opportunity and diversity exceptionally well, for pupils and staff, so that the ethos and culture of the whole school prevents any form of direct or indirect discriminatory behaviour? Do leaders, staff and pupils tolerate prejudiced behaviour?
- Is safeguarding effective? Have leaders and managers created a culture of vigilance where pupils' welfare is actively promoted. Are pupils listened to and do they feel safe? Are staff trained to identify when a pupil may be at risk of neglect, abuse or exploitation and do they report their concerns. Do leaders and staff work effectively with external partners to support pupils who are at risk or who are the subject of a multi-agency plan?
- Do leaders' work to protect pupils from radicalisation and extremism? Do leaders respond swiftly where pupils are vulnerable to these issues? Does high quality training develop staff's vigilance, confidence and competency to challenge pupils' views and encourage debate?

QUALITY OF TEACHING, LEARNING AND ASSESSMENT

- Do teachers demonstrate deep knowledge and understanding of the subjects they teach? Do they use questioning effectively and demonstrate understanding of the ways pupils think about subject content? Do they identify pupils' common misconceptions and act to ensure they are corrected?
- Are lessons planned effectively, making maximum use of lesson time and coordinating lesson resources well? Is pupils' behaviour managed effectively with clear rules that are consistently enforced?
- Do teachers provide adequate time for practice to embed the pupils' knowledge, understanding and skills securely? Do they introduce subject content progressively and constantly demand more of pupils? Do teachers identify and support any pupil who is falling behind, and enable almost all to catch up?
- Do teachers check pupils' understanding systematically and effectively in lessons, offering clearly directed and timely support?
- Do teachers provide pupils with incisive feedback, in line with the school's assessment policy, about what pupils can do to improve their knowledge, understanding and skills? Do pupils use this feedback effectively?
- Do teachers set challenging homework, in line with the school's policy and as appropriate for the age and stage of pupils, that consolidates learning, deepens understanding and prepares pupils very well for work to come?
- Do teachers embed reading, writing and communication and, where appropriate, mathematics well across the curriculum, equipping all pupils with the necessary skills to make progress? For younger children in particular, is phonics teaching highly effective in enabling them to tackle unfamiliar words?
- Are teachers determined that pupils achieve well? Do they encourage pupils to try hard, recognise their efforts and ensure that pupils take pride in all aspects of their work? Do teachers have consistently high expectations of all pupils' attitudes to learning?
- Do pupils love the challenge of learning and are they resilient to failure? Are they curious, interested learners who seek out and use new information to develop, consolidate and deepen their knowledge, understanding and skills? Do they thrive in lessons and regularly take up opportunities to learn through extra-curricular activities?
- Are pupils eager to know how to improve their learning? Do they capitalise on opportunities to use feedback, written or oral, to improve?
- Are parents provided with clear and timely information on how well their child is progressing and how well their child is doing in relation to the standards expected? Are parents given guidance about how to support their child to improve?
- Are teachers quick to challenge stereotypes and the use of derogatory language in lessons and around the school? Do resources and teaching strategies reflect and value the diversity of pupils' experiences and provide pupils with a comprehensive understanding of people and communities beyond their immediate experience?

PERSONAL DEVELOPMENT, BEHAVIOUR AND WELFARE

- Are pupils confident, self-assured learners? Do their attitudes to learning have a strong, positive impact on their progress? Are they proud of their achievements and of their school?
- Do pupils discuss and debate issues in a considered way, showing respect for others' ideas and points of view?
- In secondary schools, does high quality, impartial careers guidance help pupils to make informed choices about which courses suit their academic needs and aspirations? Are they prepared for the next stage of their education, employment, self-employment or training?
- Do pupils understand how their education equips them with the behaviours and attitudes necessary for success in their next stage of education, training or employment and for their adult life?
- Do pupils value their education and rarely miss a day at school? Are any groups of pupils disadvantaged by low attendance? Is the attendance of pupils who have previously had exceptionally high rates of absence rising quickly towards the national average?
- Does pupils' impeccable conduct reflect the school's effective strategies to promote high standards of behaviour? Are pupils self-disciplined? How common are incidences of low-level disruption?
- For individuals or groups with particular needs, is there sustained improvement in pupils' behaviour? Where standards of behaviour were already excellent, have they been maintained?
- Do pupils work with the school to prevent all forms of bullying, including online bullying and prejudice-based bullying?
- Do staff and pupils deal effectively with instances of bullying behaviour and/or use of derogatory or aggressive language?
- Does the school have an open culture that actively promotes all aspects of pupils' welfare? Are pupils safe and do they feel safe at all times? Do they understand how to keep themselves and others safe in different

- situations and settings? Do pupils trust leaders to take rapid and appropriate action to resolve any concerns they have?
- Can pupils explain accurately and confidently how to keep themselves healthy? Do they make informed choices about healthy eating, fitness and their emotional and mental well-being? Do they have an age-appropriate understanding of healthy relationships and are they confident in staying safe from abuse and exploitation?
 - Do pupils have a good understanding of how to stay safe online and of the dangers of inappropriate use of mobile technology and social networking sites?
 - Does pupils' spiritual, moral, social and cultural development equip them to be thoughtful, caring and active citizens in school and in wider society?

OUTCOMES FOR PUPILS

- Throughout each year group and across the curriculum, including in English and mathematics, do current pupils make substantial and sustained progress, develop excellent knowledge, understanding and skills, considering their different starting points?
- Does the progress across the curriculum of disadvantaged pupils and pupils who have special educational needs and/or disabilities currently on roll match or is it improving towards that of other pupils with the same starting points?
- Are pupils typically able to articulate their knowledge and understanding clearly in an age-appropriate way? Can they hold thoughtful conversations about them with each other and adults?
- Do pupils read widely and often across subjects to a high standard, with fluency and comprehension appropriate to their age? Do pupils in Year 1 achieve highly in the national phonics check?
- For pupils generally, and specifically for disadvantaged pupils and pupils who have special educational needs and/or disabilities, is progress above average across nearly all subject areas?
- How many CLA do you have? Are they making progress in line with others nationally?
- From different starting points, is progress in English and in mathematics high compared with national figures? Does the progress of disadvantaged pupils from different starting points match or is improving towards that of other pupils nationally?
- Is the attainment of almost all groups of pupils broadly in line with national averages? If below these, is it improving rapidly?
- Are pupils exceptionally well prepared for the next stage of their education, training or employment and have they attained relevant qualifications? Compared with the national average for all pupils, do higher proportions of pupils and of disadvantaged pupils, progress on to a range of higher and further education establishments, apprenticeships, employment or training? Do these destinations strongly support their career plans?

EARLY YEARS PROVISION

- Is the pursuit of excellence by leaders and managers shown by an uncompromising, highly successful drive to improve outcomes or maintain the highest levels of outcomes, for all children over a sustained period?
- Does incisive evaluation of the impact of staff's practice lead to rigorous performance management and supervision? Does highly focused professional development improve the quality of teaching?
- Is Safeguarding effective?
- Have there been any breaches of statutory welfare requirements?
- Is children's health, safety and well-being enhanced by the vigilant and consistent implementation of robust policies and procedures?
- Do leaders use highly successful strategies to engage parents and carers, including those from different groups, in their children's learning in school and at home?
- Is there a highly stimulating environment and exceptional organisation of the curriculum? Does this provide rich, varied and imaginative experiences?
- Is teaching consistently of a very high quality, inspirational and worthy of dissemination to others? Is it highly responsive to children's needs?
- Is assessment accurate and based on high quality observations? Does it include all those involved in the child's learning and development? Is provision across all areas of learning planned meticulously? Is it based on rigorous and sharply focused assessments of children's achievement so that every child undertakes highly challenging activities?

- Are children highly motivated and eager to join in? Do they consistently demonstrate curiosity, imagination and concentration? Are they highly responsive to adults and each other? Do they distract others or become distracted easily themselves?
- Are children developing a good understanding of how to keep themselves safe and manage risks? Do they demonstrate positive behaviour and high levels of self-control, cooperation and respect for others?
- Do children make consistently high rates of progress in relation to their starting points and are they well prepared academically, socially and emotionally for the next stage of their education? Are almost all children, including children who have special educational needs and/or disabilities, disadvantaged children and the most able, making substantial and sustained progress?
- Have gaps between the attainment of groups of children and all children nationally, including disadvantaged children closed or are they closing rapidly? Are any gaps between areas of learning closing?

16 TO 19 STUDY PROGRAMMES

- Do leaders pursue excellence? Have they improved provision and outcomes rapidly and reduced achievement gaps between groups by monitoring the quality of teaching, learning and assessment as well as learners' retention, progress and skill development?
- Do leaders plan, manage and evaluate study programmes so that learners undertake highly individualised and challenging learning that builds on their prior attainment, meets all the requirements of 16 to 19 provision and prepares them very well for future employment?
- Do learners without GCSE grades A* to C in either English or mathematics follow appropriately tailored courses in English and/or mathematics? Do the majority make substantial and sustained progress towards grade C or above?
- Does high quality impartial careers guidance ensure that learners follow study programmes that build on their prior attainment and enable them to develop clear, ambitious and realistic plans for their future? Do learners understand the options available and are they informed about local and national skills needs?
- Does teaching, learning and assessment support and challenge learners to make sustained and substantial progress in all aspects of their study programme? Does teaching enable learners who fall behind to catch up swiftly and the most able to excel?
- Are learners confident and do they conduct themselves well? Are they punctual? Do they have excellent personal, social and employability skills and do they undertake high quality non-qualification activities and work experience that matches their needs? Are attendance rates high?
- Are learners safe and do they feel safe? Are they thoughtful, caring and respectful citizens? Do they take responsibility for keeping themselves safe and healthy and contribute to wider society and life in Britain?
- Throughout the time spent on their study programmes, do learners and groups of learners make substantial and sustained progress from their starting points? Are rates of retention high for almost all groups of learners? Are any gaps in the progress or retention of groups with similar starting points closing?
- Do almost all learners progress swiftly to higher levels during their study programme? Do almost all learners complete their study programmes, achieve qualifications relevant to their career aims and move on to sustained education, employment, training or an apprenticeship?
- Is progress on level 3 qualifications in terms of value added above average across nearly all subjects?

	CONFIDENTIAL
Paper title:	UAE Risk Register
Board/Committee:	UAE School Advisory Board meeting
Date of meeting:	09 May 2019
Author:	Clym Cunnington, Business Manager
Sponsor:	Nicole Louis, SBA CEO
Purpose:	For Information
Recommendation:	The SAB is requested to note.

Executive Summary

The SAB is requested to note the UAE Risk registers.

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South Bank Academies UAE

Risk No.	Risk Description	Risk Consequences	Likelihood	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed (Strong, Moderate, Weak)	Person Responsible	Direction of Travel	Next Review Date
1	Failure of the School to recruit sufficient learners especially in Y7 and Y12 to make it viable	Significant financial risk Risk that the confidence of stakeholders is diminished Cash flow problems Long term financial problems	1	3	3	Admissions Policy Parent/Carer Communication Marketing Strategy Integrated Financial Curriculum Planning Effective Networking	2	Stong	Executive Principal Principals Marketing Team	→	2019-09-30
2	Failure to ensure that the objectives for the School are met	Risk that the School fails to operate within the strategic objectives agreed by the Local Advisory Body Risk that the School's strategic objectives become out of date or no longer appropriate Risk that the School receives an unfavourable Ofsted Report Risk that the objectives of the School are seen as controversial	2	2	4	Experienced Senior Leadership Team Principals' performance management with internal and external assessors Active and experiences Trustees and Local Advisory Body Stakeholders who take an active role in the operation of the School Regular HT and Operations Meetings External Advisors Ofsted Action Plan T&L focus of the Governors Principals' Report Data Harvest	2	Strong	Executive Principal Principals Marketing Team	↓	
3	Poor Student outcomes	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers. Academy's reputation at risk.	2	3	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils Incoming students assessed for suitable attainment levels Executive Principal educational oversight School Improvement Partnership Exteranal consultants to improve Teaching and Learning Regular staff appraisals Trust HR Manager to advise on Staffing and issues. Principal reports to Local Advisory Body	3	Moderate	Exectuve Principal Principal SLT Trust HR Manager	→	
4	Failure to monitor and react according to the requirement of our stakeholders	Risk that stakeholders and beneficiaries do not consider the School service to be valuable and high quality	2	2	4	Reports to Trustees Reports to School Local Advisory Body Parent/Carer Communication School Council Open Day Questionnaires Parent, Student, Staff surveys	3	Moderate	Executive Principal Principals SLT	→	
5	Failure to monitor and react according to the requirement of our stakeholders	Risk that competitors make more attractive offer to stakeholders Risk that stakeholders fail to differentiate between the School and its competitors Risk of competition or the same share of the market	2	1	2	Marketing Strategy Effective Networking Post 16 Investments and Improvements Post 16 SDP Strong Family Links to the School	1	Stong	Executive Principal Principals SLT Local Advisory Board	↓	
6	Failure to assess and review alliances and partnership with other organisations	Risk that an alliance or partnership is no longer appropriate Risk to the integrity of the School	1	1	1	Networking Visits to other schools Principal Meetings Schools' Forum	0	Stong	Chief Executive Officer Executive Principal Principals SLT	→	
7	Failure to ensure Information Technology in the School is maintained to the highest standard	IT security risk Risk to the corruption or loss of data Risk that IT equipment and services are outdated and no longer fit for purpose Financial risk Risk of Litigation	2	1	2	Outsourced IT service Regular back up of information on outsourced servers	1	Stong	Executive Principal Principal Vice Principal Outsourced IT Services Provider SLT Trust Business Manager	→	

8	Failure to monitor the effect of risks over which the School has little or no control such as economic or natural disaster	Financial Risk Risk of Litigation Reputational risk	1	1	1	Part of School Insurance Review process organised by Trust Business Manager Fixtures, Fittings, Employer, Public Liability held by the School Disaster Recovery Plan ICT Disaster Recovery Plan Temporary building replacement scheme with insurers PREVENT strategy used in School Medical Reviews PHSE program in School	0	Stong	Executive Principal Principals SLT Trust Business Manager	→	
9	Failure of the School to recruit Governors who have the appropriate profile	Risk that a Governor could attract negative publicity Risk that stakeholders view Governors merely as extension of SLT Risk that stakeholders lose confidence in the Local Advisory Body School receives a set of Unqualified Accounts from its annual audit. Fines from the ESFA Potential Financial Notice to Improve issues from the ESFA Financial Risk, Risk of Litigation, Reputational Risk, Risk to the future of the School, Risk of poor moral affecting staff and stakeholders Risk that committees fail to operate effectively Risk that committee delegation is poor Risk that Local Advisory Body does not delegate enough or delegates too much to the Principal or SLT. Risk that the Terms of Reference are inadequate and/or unfit for purpose Risk to the day-to-day operation of the school	2	2	4	Governor training and induction and recruitment process, formal application process Regular Governors' skills audit Monthly management accounts, budget monitoring Reports to SLT and Local Advisory Body Awareness of Financial Regulations Effective Internal and External Audit Monthly management accounts, internal; controls, daily reconciliations for real time data. Read only banking to all finance staff. Review of monthly accounts by Chair of FGP, robust financial policies and procedures, disseminated to staff Robust organisational monthly HT/AD month-end review Risk Assessment process, Health and Safety policy, guidance on Data Protection, annual Governors' review and Terms of Reference, clear guidance on senior staff roles and clear cover arrangements Active Local Advisory Body membership, access to SLT for guidance and support External Advisors Judicium	2	Stong	SBA Board Local Advisory Boards LSB Governance Team Chief Operating Officer Executive Principal Principals	↓	
10	Failure to comply with legislative requirements.	Financial Risk Reputational Risk risk of Litigation Risk of poor morale affecting staff and stakeholders Risk to the future of the School and Trust	2	1	2	Clear policies disseminated to all staff Risk Assessment Process Health and Safety Policy Guidance on Data Protection External consultants and experts used Regular external and internal review of legislative areas in School	1	Stong	Executive Principal Principal SLT Trust Business Manager	→	
11	Failure of The Academy and the Local Advisory Board to have procedures in place to cover the absence of the Principal or other members of the Senior Leadership Team	Financial Risk Reputational Risk Risk of poor morale affecting staff and stakeholders Risk to the day to day operations of the School Risk that Terms of Reference are inadequate or not fit for purpose	2	2	4	Clear guidance on Senior Staff roles clear cover arrangements Regular Local Advisory Board meetings CEO and Executive Principal meetings Access to SLT for guidance and support External Advisors Judicium, Local Authorities, LSBU Sponsor Regular meetings with the Executive Principal	2	Stong	Executive Principal Principal Local Advisory Board	↓	
12	High profile event in the school affects Trust overall and its reputation.	Risk to reputation nationally and locally to the school and the trust. Risk to the Sponsor's reputation.	1	3	3	Academy has a Critical Incident plan which is regularly assessed listing a delegation of duties in the event of an emergency situation. Advice and Expertises of the sponsor LSBU to advise in difficult circumstances Access to LSBU Sponsor legal expertise and advise	2	Stong	Executive Principal Principals SLT	→	
13	Safeguarding incident at one of the schools.	Risk to reputation locally and nationally DfE and HSE intervention depending on scale of the event. Risk of drop in numbers of enrollments	2	3	6	Experienced SENDCO employed at School All staff and governors are given safeguarding and prevent training annually All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	4	Moderate	Executive Principal Principal SLT	↓	

South Bank Academies

Risk No.	Risk Description	Risk Consequences	Likelihood	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed	Person Responsible	Direction of Travel	Next Review Date
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1	Failure to ensure that the quality of Management information produced by the School is of a high quality, timely and aids decision-making.	Risk that the financial and non-financial performance of the School cannot be managed or reviews by SLT Risk that the financial and non-financial performance of the School cannot be challenged or reviewed by the Trust or SBA Board Risk to the School of receiving poor audits and inspections	2	2	4	Regular reporting and review of performance against targets for recruitment SIP and Self Evaluation Trustee and Local Advisory Body reports and Minutes Support from the School's administration team Outsourced Data platforms	2	Strong	Executive Principal Principals SLT	→
2	Failure to ensure that the quantity of Management Information produced by the School is good enough to aid decision making	Risk that the SLT cannot take informed decisions Risk that the Local Advisory Body cannot make informed strategic decisions Risk that the Local Advisory Body has no financial expertise Risk that the individual Governors' play a 'passive' role on the Local Advisory Body Risk that leadership does not have the capability or experience within the sector, risk that the SLT do not have the integrity required. Risk that succession planning is ignored, risk that too much emphasis is placed on entrepreneurial work and strategic objectives of the School are ignored. Risk to staff and stakeholders of low morale, risk of poor recruitment of learners to School, risk of poor retention and success rates. Risk of recruiting unsuitable staff, risk of poor appraisal, CPD processes and the need to instigate costly disciplinary procedures, tribunals etc.	2	1	2	Regular reporting and review of performance against target for recruitment SLT review process Trustee and SBA Board and Local Advisory Board reports and minutes School Recruitment and Selection policy and procedures, continuing professional development, appraisal, Staff Development strategy ESFA Handbook Active Senior Team Membership Continuing Professional Development Active Local Advisory Body membership	1	Strong	Executive Principal Principals SLT TBM	→
3	Failure to implement a Risk Management Strategy	Failure to optimise educational opportunities Non-compliance with ESFA requirements Exposure of the School to unnecessary risk Increased cost, eg. insurance	1	1	1	Risk Strategy Risk Register and Action Plans Risk Management Group Executive Principal Oversight Local Advisory Board reporting mechanisms Oversight of content and timescales by the Trust Business Manager and CEO	0	Strong	Executive Principal Principals SLT Local Advisory Board TBM	↓
4	Failure to ensure the managers of the school possess the skills and experience required to manage the School	Risk that the leadership does not have the capability or experience within the sector Risk of poor recruitment of learners to the school Risk of poor retention and success rates Risk of recruiting unsuitable staff Risk of poor appraisal, CPD processes and the need to instigate costly disciplinary procedures	2	1	2	School Recruitment and selection policy and procedures Active Senior Leadership Membership Continual professional development Staff development strategy INSET Training Days Trust Finance Manager	1	Strong	Executive Principal Principals SLT Trust HR Manager Trust Finance Manager Trust Business Manager Chief Executive Officer	↓
5	Staff Recruited to the Schools have the required skills and expertise to meet the strategic objectives of the School.	Risk to staff and stakeholders of low morale risk of poor recruitment of learners to the school risk of poor retention and success rates Risk of recruiting unsuitable staff Risk of poor appraisal CPD processes and need to instigate costly disciplinary tribunals.	2	3	6	School recruitment and selection policy and procedures Active Senior Team involvement in Recruitment Advice and support from the Trust Business Manager Continuing professional development	3	Moderate	Executive Principal Principals SLT Trust HR Manager	↓
6	Failure to recruit key teaching and support staff posts. Inadequate competency of staff within the School.	Staff not able to carry out their duties Poor management and decision making Poor quality of teaching and learning leading to poor student outcomes Inadequate Ofsted grading leading to reputational risk.	2	3	6	Thorough recruitment programme with all relevant staff trained Comprehensive professional development Strong Appraisal system Competitive remuneration and career development.	4	Moderate	Executive Principal Principals Trust HR Manager	→

7	Inadequate number of teaching and support staff within the Academy.	Inadequate teaching and learning and student support leading to poor student outcomes. Unsatisfactory Ofsted grading leading to poor outcomes	1	3	3	Integrated Financial Curriculum Planning Monthly monitoring of staffing Exit interviews Timely recruitment processes Experienced Trust HR Manager in place	2	Strong	Executive Principal Principals SLT	↓	
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South Bank Academies

Risk No.	Risk Description	Risk Consequences	Likelihood	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed	Person Responsible	Direction of Travel	Next Review Date
1	Failure to ensure the School complies with employee legislation	Risk that legislative requirements are not known or complied with Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur Risk that Data Protection legislation may not be complied with Risk that Human Rights legislation will not be complied with Risk that employee contract legislation may not be complied with Risk that employee Pension legislative requirements are not known or complied with Risk that Health and Safety legislative requirements are not known or complied with Fines for not ensuring right to work in the UK	2	2	4	Support of HR Advice and the associated policies and procedure Support of school Data Protection Officer and supporting policy and procedure Health and Safety Policy First Aid Policy Fire Safety Policy Support from the School's external Health and Safety Officer External Advisors – Judicium Safeguarding policy	2	Strong	Executive Principal Principals Trust HR Manager	↓	
2	Failure to ensure the School complies with environmental legislation	Risk that UK legislative requirements are not known or complied with	1	1	1	Reporting to SLT and Local Advisory Body Utilisation of School Sustainability Policies [as Landlord of building] Support of the School Site Manager Monthly Management Accounts Reports to Audit Committees Committee and the Local Advisory Body Budget monitoring Awareness of Financial Regulations and AFH Effective External Audit 3 year financial forecasts Support from the Responsible Officer Recycling program both teachers and students IT disposal policy Members of LBH carbon monitoring program	0	Strong	Executive Principal Principals Trust Business Manager SLT	→	
3	Failure to ensure the Financial reporting requirements of the School are met	Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with Risk that the legislative requirements relating to Accounting Standards are not known or complied with Risk that the Charities Statement of Recommended Practice [SORP] legislative requirements are not known or complied with	3	2	6	Reports to Audit Committees Committee and the Local Advisory Body Budget monitoring Awareness of Financial Regulations and AFH Effective External Audit 5 year financial forecasts Support from the UHY internal Audit Governors Annual Audit against financial handbook. Governors Control document	4	Moderate	Executive Principal Principals Local Advisory Board Chief Executive Officer Trust Business Manager	→	
4	Failure to ensure that the School ensures that Data Protection systems, procedures and processes are adequate	Risk that the legislative requirements relating to the protection of data are known and complied with Financial risk Litigation risk	2	2	4	Support of outsourced School Data Protection Officer and supporting policy and procedure Data Audit by external consultant Trust has an updated GDPR Policy All Trust and School staff have received GDPR training	2	Strong	Executive Principal Principal SLT	→	

5	Failure to ensure that the School is compliant in respect of Welfare issues	Risk that the legislative requirements relating to disability are not known or complied with Risk that the legislative requirements of the Child Protection Act are not known or complied with	2	1	2	Support of HR Manager and the associated policies and procedures Parent/Carer Communication DBS Policy Citizenship Policy Personal, Social, Health Education Policy Reporting mechanisms to the Local Advisory Body Safeguarding Officer and ongoing training RESPECT procedures Epipen Training Attendance Review	1	Strong	Executive Principal Principal SLT	→
6	Failure to ensure that the school is compliant in respect of the requirements of the school sector	Risk that the legislative requirements relating to the National Curriculum are not known or complied with Risk that the legislative requirements relating to mental health are not known or complied with	1	1	1	Reporting mechanisms to the Local Advisory Body Government Website and advice External website subscriptions – The Key Exam entries Subscriptions to professional bodies Curriculum leaders meeting and regular review	0	Strong	Executive Principal Principals SLT	↓
7	Failure to ensure that the School is compliant in respect of the requirements of the Government and other relevant Authorities	Risk that the terms and conditions relating to the payment of any grant is not known or complied with Risk that the legislative requirements relating to licensing are not known or complied with	1	1	1	Reports to SLT and the Local Advisory Body Ofsted Inspections Internal and External Audit Networking Visits to other schools Principals' Meetings External subscriptions – The Key (Schools and Governors)	0	Strong	Executive Principal Principals SLT	→
8	Inadequate level of expertise and challenge on Local Governing Body leading to ineffective local governance.	Failure to achieve mission and objectives of the School/Trust. Poor decision making and information flow.	1	3	3	Appropriate recruitment process for governors. Representation of the Trust on local governing bodies Annual review of local governing bodies including skills audit.	2	Strong	Executive Principal Principal Local Advisory Board	→
9	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	1	3	3	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies Regular reports to the board Oversight of Trust Business Manager Adequate insurance cover through Govt recommended RPA Scheme	2	Strong	Executive Principal Principal	→
10	Land and Buildings are fit for purpose	Damage to property due to poor maintenance could cause disruption to business continuity and cause damage to pupils learning and School reputation	1	3	3	Maintenance programme in place assessed and monitored by Principal and forwarded to Trust Adequate budgets for building maintenance are provided Regular site checks by facilities team and external audits Appointment of skilled, qualified Premises Manager and team Funding by the Trust for Capital Expenditure on Buildings Access to CIF bid expertise and consultants.	2	Strong	Executive Principal Principal Trust Business Manager Vice Principal	→
11	Failure to safeguard Trust or Academy Assets from theft or damage by a third party.	Damage to building and assets Health and safety risk to students and staff Reputational damage and poor learning outcomes.	1	2	2	Academy has adequate security systems Budgetary allowance for upkeep and maintenance Asset registers at each establishment are monitored and audited regularly Adequate insurance is provided.	1	Strong	Principal Vice Principal Premises Manager	→

Risk Calculation	Probability		
	1 low	2 medium	3 high
1 low	1	2	3
2 medium	2	4	6
3 high	3	6	9

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	INTERNAL
Paper title:	Keeping Children Safe in Education
Board/Committee:	UAE School Advisory Board meeting
Date of meeting:	09 May 2019
Author:	Alexander Enibe, Clerk to SBA Academies
Sponsor:	Chris Mallaband, Chair of SAB
Purpose:	For Review
Recommendation:	The SAB is requested to read the KCSIE and sign having read it.

Executive Summary

Safeguarding is the responsibility of everyone including the governors. The SAB is requested to read the DfE “Keeping Children Safe in Education” and sign having read it.

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Department
for Education

Keeping children safe in education

**Statutory guidance for schools and
colleges**

September 2018

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Summary

What is the status of this guidance?

This is statutory guidance from the Department for Education (the department) issued under Section 175 of the Education Act 2002, the Education (Independent School Standards) Regulations 2014, and the Non-Maintained Special Schools (England) Regulations 2015. Schools and colleges in England must have regard to it when carrying out their duties to safeguard and promote the welfare of children. For the purposes of this guidance children includes everyone under the age of 18.

About this guidance

We use the terms “**must**” and “**should**” throughout the guidance. We use the term “must” when the person in question is legally required to do something and “should” when the advice set out should be followed unless there is good reason not to.

The guidance should be read alongside:

- statutory guidance [Working Together to Safeguard Children](#); and
- departmental advice [What to do if you are Worried a Child is Being Abused - Advice for Practitioners](#).

Unless otherwise specified:

- ‘school’ means: all schools whether maintained, non-maintained or independent schools (including academies, free schools and alternative provision academies), maintained nursery schools¹ and pupil referral units.
- ‘college’ means further education colleges and sixth-form colleges as established under the Further and Higher Education Act 1992 and institutions designated as being within the further education sector.² It relates to their responsibilities towards children who are receiving education or training at the college. It excludes 16-19 academies and free schools (which are required to comply with relevant safeguarding legislation by virtue of their funding agreement).

¹ The [Early Years Foundation Stage Framework](#) (EYFS) is mandatory for all early years’ providers. It applies to all schools, including maintained nursery schools that have early years provision. Maintained nursery schools, like the other schools listed under ‘About this guidance’, must have regard to Keeping Children Safe in Education 2018 when carrying out duties to safeguard and promote the welfare of children (by virtue of section 175(2) of the Education Act 2002 – see footnote 14 for further detail on this requirement).

² Under section 28 of the Further and Higher Education Act 1992 (‘designated institutions’).

Who this guidance is for

This statutory guidance should be read and followed by:

- governing bodies of maintained schools (including maintained nursery schools) and colleges;
- proprietors of independent schools (including academies, free schools and alternative provision academies) and non-maintained special schools. In the case of academies, free schools and alternative provision academies, the proprietor will be the academy trust; and
- management committees of pupil referral units (PRUs).

The above persons should ensure that **all staff** in their school or college **read** at least Part one of this guidance. The above persons should ensure that mechanisms are in place to assist staff to understand and discharge their role and responsibilities as set out in Part one of this guidance.

Multi-agency safeguarding transitional arrangements

The department has published [Working Together Transitional Statutory Guidance](#) to support Local Safeguarding Children Boards (LSCBs), the new safeguarding and child death review partners, and the new Child Safeguarding Practice Review Panel in the transition from LSCBs and serious case reviews (SCRs) to a new system of multi-agency arrangements and local and national child safeguarding practice reviews. Locally, the three safeguarding partners (the local authority; a clinical commissioning group for an area within the local authority; and the chief officer of police for a police area in the local authority area) will make arrangements to work together to safeguard and promote the welfare of local children, including identifying and responding to their needs.

Governing bodies, proprietors, management committees and their senior leadership teams, especially their designated safeguarding leads, should be aware of their local arrangements and timelines for the transition. Keeping Children Safe in Education 2018 has been drafted in line with revised [Working Together to Safeguard Children](#) to reflect these new arrangements.

Details of the new local arrangements must be published by the three safeguarding partners no later than 29 June 2019 and be in place no later than 29 September 2019. Until the new arrangements are in place, schools and colleges should continue to work in partnership with the LSCB and follow any relevant local arrangements.

What this guidance replaces

This guidance replaces Keeping Children Safe in Education September 2016. A table of substantive changes is included at Annex H.

Part one: Safeguarding information for all staff

What school and college staff should know and do

A child centred and coordinated approach to safeguarding

1. Schools and colleges and their staff are an important part of the wider safeguarding system for children. This system is described in statutory guidance [Working Together to Safeguard Children](#).
2. Safeguarding and promoting the welfare of children is **everyone's** responsibility. **Everyone** who comes into contact with children and their families has a role to play. In order to fulfil this responsibility effectively, all practitioners should make sure their approach is child-centred. This means that they should consider, at all times, what is in the **best interests** of the child.
3. No single practitioner can have a full picture of a child's needs and circumstances. If children and families are to receive the right help at the right time, **everyone** who comes into contact with them has a role to play in identifying concerns, sharing information and taking prompt action.
4. Safeguarding and promoting the welfare of children is defined for the purposes of this guidance as:
 - protecting children from maltreatment
 - preventing impairment of children's health or development
 - ensuring that children grow up in circumstances consistent with the provision of safe and effective care
 - taking action to enable all children to have the best outcomes
5. Children includes everyone under the age of 18.

The role of school and college staff

6. School and college staff are particularly important as they are in a position to identify concerns early, provide help for children, and prevent concerns from escalating.
7. **All** staff have a responsibility to provide a safe environment in which children can learn and **all** staff should be prepared to identify children who may benefit from early

help.³ Early help means providing support as soon as a problem emerges at any point in a child's life, from the foundation years through to the teenage years.

8. **Any staff member** who has a concern about a child's welfare should follow the referral processes set out in paragraphs 22-33. Staff should expect to support social workers and other agencies following any referral.

9. Every school and college should have a designated safeguarding lead who will provide support to staff to carry out their safeguarding duties and who will liaise closely with other services such as children's social care.

10. The designated safeguarding lead (and any deputies) are most likely to have a complete safeguarding picture and be the most appropriate person to advise on the response to safeguarding concerns.

11. The Teachers' Standards 2012 state that teachers (which includes headteachers) should safeguard children's wellbeing and maintain public trust in the teaching profession as part of their professional duties.⁴

What school and college staff need to know

12. **All** staff should be aware of systems within their school or college which support safeguarding and these should be explained to them as part of staff induction. This should include:

- the child protection policy;
- the behaviour policy;⁵
- the staff behaviour policy (sometimes called a code of conduct);
- the safeguarding response to children who go missing from education; and
- the role of the designated safeguarding lead (including the identity of the designated safeguarding lead and any deputies).

Copies of policies and a copy of Part one of this document should be provided to staff at induction.

³ Detailed information on early help can be found in Chapter 1 of [Working Together to Safeguard Children](#).

⁴ The [Teachers' Standards](#) apply to: trainees working towards QTS; all teachers completing their statutory induction period (newly qualified teachers [NQTs]); and teachers in maintained schools, including maintained special schools, who are subject to the Education (School Teachers' Appraisal) (England) Regulations 2012.

⁵ All schools are required to have a behaviour policy (full details are [here](#)). If a college chooses to have a behaviour policy it should be provided to staff as described above.

13. **All** staff should receive appropriate safeguarding and child protection training which is regularly updated. In addition, all staff should receive safeguarding and child protection updates (for example, via email, e-bulletins and staff meetings), as required, and at least annually, to provide them with relevant skills and knowledge to safeguard children effectively.
14. **All** staff should be aware of their local early help⁶ process and understand their role in it.
15. **All** staff should be aware of the process for making referrals to children's social care and for statutory assessments under the Children Act 1989, especially section 17 (children in need) and section 47 (a child suffering, or likely to suffer, significant harm) that may follow a referral, along with the role they might be expected to play in such assessments.⁷
16. **All** staff should know what to do if a child tells them he/she is being abused or neglected. Staff should know how to manage the requirement to maintain an appropriate level of confidentiality. This means only involving those who need to be involved, such as the designated safeguarding lead (or a deputy) and children's social care. Staff should never promise a child that they will not tell anyone about a report of abuse, as this may ultimately not be in the best interests of the child.

What school and college staff should look out for

17. **Any** child may benefit from early help, but all school and college staff should be particularly alert to the potential need for early help for a child who:
- is disabled and has specific additional needs
 - has special educational needs (whether or not they have a statutory Education, Health and Care Plan)
 - is a young carer
 - is showing signs of being drawn in to anti-social or criminal behaviour, including gang involvement and association with organised crime groups
 - is frequently missing/goes missing from care or from home
 - is at risk of modern slavery, trafficking or exploitation
 - is at risk of being radicalised or exploited
 - is in a family circumstance presenting challenges for the child, such as drug and alcohol misuse, adult mental health issues and domestic abuse
 - is misusing drugs or alcohol themselves

⁶ Detailed information on early help can be found in Chapter 1 of [Working Together to Safeguard Children](#).

⁷ More information on statutory assessments is included at paragraph 28. Detailed information on statutory assessments can be found in Chapter 1 of [Working Together to Safeguard Children](#).

- has returned home to their family from care
- is a privately fostered child

18. **All** staff should be aware of indicators of abuse and neglect so that they are able to identify cases of children who may be in need of help or protection. Indicators of abuse and neglect, and examples of safeguarding issues are described in paragraphs 41-51.

19. Departmental advice [What to Do if You Are Worried a Child is Being Abused - Advice for Practitioners](#) provides more information on understanding and identifying abuse and neglect. Examples of potential indicators of abuse and neglect are highlighted throughout the advice and will be particularly helpful for school and college staff. The [NSPCC](#) website also provides useful additional information on abuse and neglect and what to look out for.

20. Staff working with children are advised to maintain an attitude of **'it could happen here'** where safeguarding is concerned. When concerned about the welfare of a child, staff should always act in the **best** interests of the child.

21. Knowing what to look for is vital to the early identification of abuse and neglect. If staff are unsure, they should **always** speak to the designated safeguarding lead (or deputy).

What school and college staff should do if they have concerns about a child

22. If staff have **any concerns** about a child's welfare, they should act on them immediately. See page 13 for a flow chart setting out the process for staff when they have concerns about a child.

23. If staff have a concern, they should follow their own organisation's child protection policy and speak to the designated safeguarding lead (or deputy).

24. Options will then include:

- managing any support for the child internally via the school's or college's own pastoral support processes;
- an early help assessment;⁸ or

⁸ Further information on early help assessments, provision of early help services and accessing services is in Chapter 1 of [Working Together to Safeguard Children](#).

- a referral for statutory services,⁹ for example as the child might be in need, is in need or suffering or likely to suffer harm.

25. The designated safeguarding lead or a deputy should always be available to discuss safeguarding concerns. If in exceptional circumstances, the designated safeguarding lead (or deputy) is not available, this should not delay appropriate action being taken. Staff should consider speaking to a member of the senior leadership team and/or take advice from local children's social care. In these circumstances, any action taken should be shared with the designated safeguarding lead (or deputy) as soon as is practically possible.

26. Staff should not assume a colleague or another professional will take action and share information that might be critical in keeping children safe. They should be mindful that early information sharing is vital for effective identification, assessment and allocation of appropriate service provision. [Information Sharing: Advice for Practitioners Providing Safeguarding Services to Children, Young People, Parents and Carers](#) supports staff who have to make decisions about sharing information. This advice includes the seven golden rules for sharing information and considerations with regard to the Data Protection Act 2018 and General Data Protection Regulation (GDPR). If in any doubt about sharing information, staff should speak to the designated safeguarding lead or a deputy. Fears about sharing information **must not** be allowed to stand in the way of the need to promote the welfare, and protect the safety, of children.

Early help

27. If early help is appropriate, the designated safeguarding lead (or deputy) will generally lead on liaising with other agencies and setting up an inter-agency assessment as appropriate. Staff may be required to support other agencies and professionals in an early help assessment, in some cases acting as the lead practitioner. Any such cases should be kept under constant review and consideration given to a referral to children's social care for assessment for statutory services, if the child's situation does not appear to be improving or is getting worse.

⁹ Chapter 1 of [Working Together to Safeguard Children](#) sets out that the safeguarding partners should publish a threshold document that should include the criteria, including the level of need, for when a case should be referred to local authority children's social care for assessment and for statutory services under section 17 and 47. Local authorities, with their partners, should develop and publish local protocols for assessment. A local protocol should set out clear arrangements for how cases will be managed once a child is referred into local authority children's social care.

Statutory assessments

28. **Where a child is suffering, or is likely to suffer from harm, it is important that a referral to children's social care (and if appropriate the police) is made immediately.** Referrals should follow the local referral process.

Children in need

A child in need is defined under the Children Act 1989 as a child who is unlikely to achieve or maintain a reasonable level of health or development, or whose health and development is likely to be significantly or further impaired, without the provision of services; or a child who is disabled. Local authorities are required to provide services for children in need for the purposes of safeguarding and promoting their welfare. Children in need may be assessed under section 17 of the Children Act 1989.

Children suffering or likely to suffer significant harm

Local authorities, with the help of other organisations as appropriate, have a duty to make enquires under section 47 of the Children Act 1989 if they have reasonable cause to suspect that a child is suffering, or is likely to suffer, significant harm. Such enquiries enable them to decide whether they should take any action to safeguard and promote the child's welfare and must be initiated where there are concerns about maltreatment, including all forms of abuse and neglect, female genital mutilation or other so-called honour based violence, and extra-familial threats like radicalisation and sexual exploitation.

29. The online tool [Report Child Abuse to Your Local Council](#) directs to the relevant local children's social care contact number.

What will the local authority do?

30. Within one working day of a referral being made, a local authority social worker should acknowledge receipt to the referrer and make a decision about the next steps and the type of response that is required. This will include determining whether:

- the child requires immediate protection and urgent action is required
- the child is in need, and should be assessed under section 17 of the Children Act 1989
- there is reasonable cause to suspect the child is suffering or likely to suffer significant harm, and whether enquiries must be made and the child assessed under section 47 of the Children Act 1989
- any services are required by the child and family and what type of services
- further specialist assessments are required to help the local authority to decide what further action to take
- to see the child as soon as possible if the decision is taken that the referral requires further assessment.

31. The referrer should follow up if this information is not forthcoming.
32. If social workers decide to carry out a statutory assessment, staff should do everything they can to support that assessment (supported by the designated safeguarding lead (or deputy) as required).
33. If, after a referral, the child's situation does not appear to be improving, the referrer should consider following local escalation procedures to ensure their concerns have been addressed and, most importantly, that the child's situation improves.

Female Genital Mutilation mandatory reporting duty for teachers

34. Whilst all staff should speak to the designated safeguarding lead (or deputy) with regard to any concerns about female genital mutilation (FGM), there is a specific **legal** duty on **teachers**.¹⁰ If a **teacher**, in the course of their work in the profession, discovers that an act of FGM appears to have been carried out on a girl under the age of 18, the teacher **must** report this to the police. **See Annex A** for further details.

Record keeping

35. All concerns, discussions and decisions made, and the reasons for those decisions, should be recorded in writing. If in doubt about recording requirements, staff should discuss with the designated safeguarding lead (or deputy).

Why is all of this important?

36. It is important for children to receive the right help at the right time to address risks and prevent issues escalating. Research and serious case reviews have repeatedly shown the dangers of failing to take effective action.¹¹ Examples of poor practice include:

- failing to act on and refer the early signs of abuse and neglect;
- poor record keeping;
- failing to listen to the views of the child;
- failing to re-assess concerns when situations do not improve;
- not sharing information;
- sharing information too slowly; and
- a lack of challenge to those who appear not to be taking action.

¹⁰ Under Section 5B(11) (a) of the Female Genital Mutilation Act 2003, "teacher" means, in relation to England, a person within section 141A(1) of the Education Act 2002 (persons employed or engaged to carry out teaching work at schools and other institutions in England).

¹¹ An analysis of serious case reviews can be found at [Serious case reviews, 2011 to 2014](#).

What school and college staff should do if they have concerns about another staff member who may pose a risk of harm to children

37. If staff have safeguarding concerns, or an allegation is made about another member of staff (including volunteers) posing a risk of harm to children, then:

- this should be referred to the headteacher or principal;
- where there are concerns/allegations about the headteacher or principal, this should be referred to the chair of governors, chair of the management committee or proprietor of an independent school; and
- in the event of concerns/allegations about the headteacher, where the headteacher is also the sole proprietor of an independent school, allegations should be reported directly to the designated officer(s) at the local authority. (Further details can be found in Part four of this guidance).

What school or college staff should do if they have concerns about safeguarding practices within the school or college

38. All staff and volunteers should feel able to raise concerns about poor or unsafe practice and potential failures in the school's or college's safeguarding regime and know that such concerns will be taken seriously by the senior leadership team.

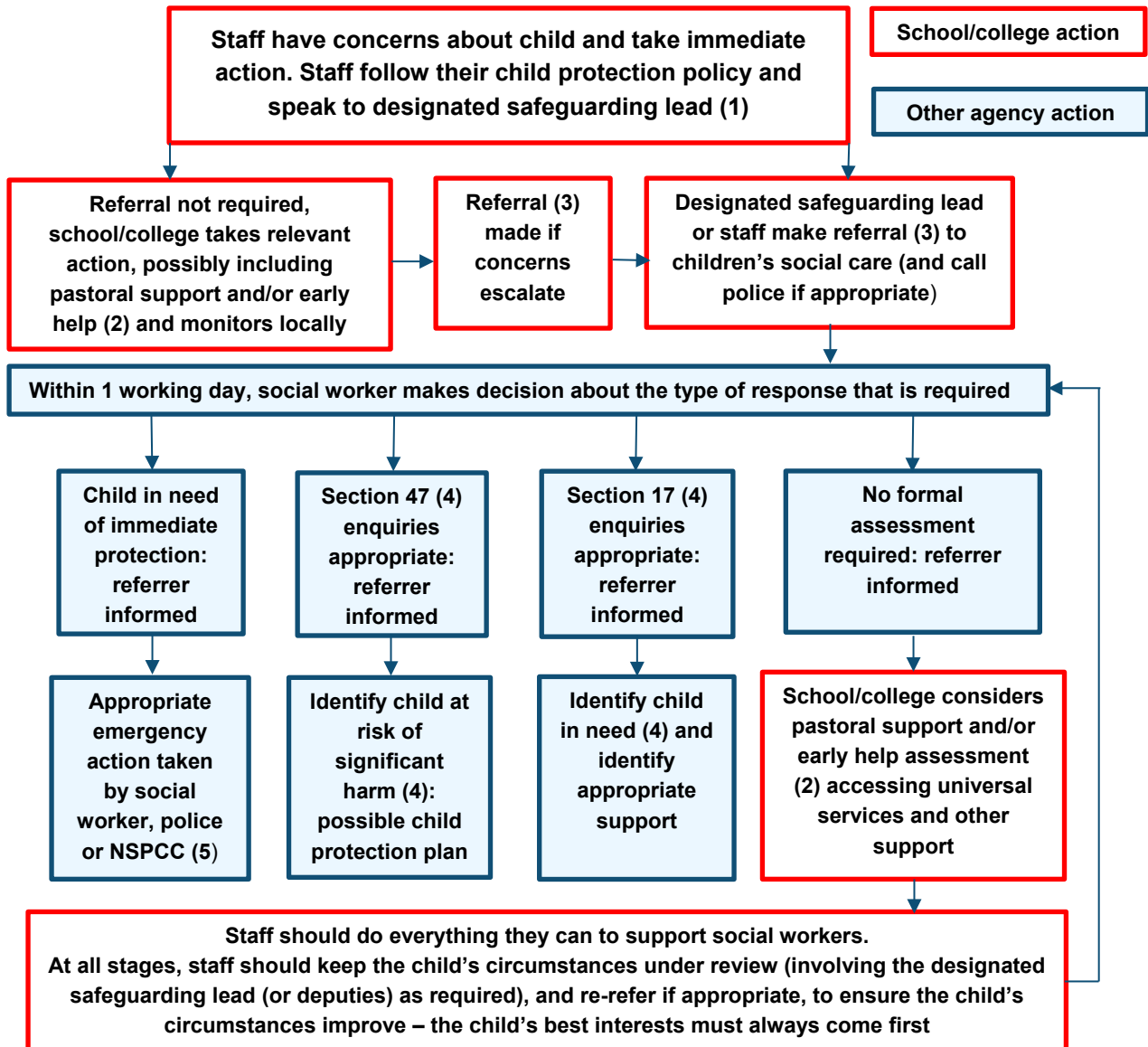
39. Appropriate whistleblowing procedures, should be put in place for such concerns to be raised with the school's or college's senior leadership team.

40. Where a staff member feels unable to raise an issue with their employer, or feels that their genuine concerns are not being addressed, other whistleblowing channels may be open to them:

- General guidance on whistleblowing can be found via: [Advice on Whistleblowing](#).
- The [NSPCC whistleblowing helpline](#) is available as an alternative route for staff who do not feel able to raise concerns regarding child protection failures internally or have concerns about the way a concern is being handled by their school or college. Staff can call 0800 028 0285 – line is available from 8:00 AM to 8:00 PM, Monday to Friday and email: help@nspcc.org.uk¹²

¹² Alternatively, staff can write to: National Society for the Prevention of Cruelty to Children (NSPCC), Weston House, 42 Curtain, Road, London EC2A 3NH.

Actions where there are concerns about a child



(1) In cases which also involve a concern or an allegation of abuse against a staff member, see Part Four of this guidance.

(2) Early help means providing support as soon as a problem emerges at any point in a child's life. Where a child would benefit from co-ordinated early help, an early help inter-agency assessment should be arranged. Chapter one of [Working Together to Safeguard Children](#) provides detailed guidance on the early help process.

(3) Referrals should follow the process set out in the local threshold document and local protocol for assessment. Chapter one of [Working Together to Safeguard Children](#).

(4) Under the Children Act 1989, local authorities are required to provide services for children in need for the purposes of safeguarding and promoting their welfare. Children in need may be assessed under section 17 of the Children Act 1989. Under section 47 of the Children Act 1989, where a local authority has reasonable cause to suspect that a child is suffering or likely to suffer significant harm, it has a duty to make enquiries to decide whether to take action to safeguard or promote the child's welfare. Full details are in Chapter one of [Working Together to Safeguard Children](#).

(5) This could include applying for an Emergency Protection Order (EPO).

Indicators of abuse and neglect

41. **All** school and college staff should be aware that abuse, neglect and safeguarding issues are rarely standalone events that can be covered by one definition or label. In most cases, multiple issues will overlap with one another.

42. **Abuse:** a form of maltreatment of a child. Somebody may abuse or neglect a child by inflicting harm or by failing to act to prevent harm. Children may be abused in a family or in an institutional or community setting by those known to them or, more rarely, by others. Abuse can take place wholly online, or technology may be used to facilitate offline abuse. Children may be abused by an adult or adults or by another child or children.

43. **Physical abuse:** a form of abuse which may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating or otherwise causing physical harm to a child. Physical harm may also be caused when a parent or carer fabricates the symptoms of, or deliberately induces, illness in a child.

44. **Emotional abuse:** the persistent emotional maltreatment of a child such as to cause severe and adverse effects on the child's emotional development. It may involve conveying to a child that they are worthless or unloved, inadequate, or valued only insofar as they meet the needs of another person. It may include not giving the child opportunities to express their views, deliberately silencing them or 'making fun' of what they say or how they communicate. It may feature age or developmentally inappropriate expectations being imposed on children. These may include interactions that are beyond a child's developmental capability as well as overprotection and limitation of exploration and learning, or preventing the child from participating in normal social interaction. It may involve seeing or hearing the ill-treatment of another. It may involve serious bullying (including cyberbullying), causing children frequently to feel frightened or in danger, or the exploitation or corruption of children. Some level of emotional abuse is involved in all types of maltreatment of a child, although it may occur alone.

45. **Sexual abuse:** involves forcing or enticing a child or young person to take part in sexual activities, not necessarily involving a high level of violence, whether or not the child is aware of what is happening. The activities may involve physical contact, including assault by penetration (for example rape or oral sex) or non-penetrative acts such as masturbation, kissing, rubbing and touching outside of clothing. They may also include non-contact activities, such as involving children in looking at, or in the production of, sexual images, watching sexual activities, encouraging children to behave in sexually inappropriate ways, or grooming a child in preparation for abuse. Sexual abuse can take place online, and technology can be used to facilitate offline abuse. Sexual abuse is not solely perpetrated by adult males. Women can also commit acts of sexual abuse, as can other children. The sexual abuse of children by other children is a specific safeguarding issue in education (see paragraph 48).

46. **Neglect:** the persistent failure to meet a child's basic physical and/or psychological needs, likely to result in the serious impairment of the child's health or development. Neglect may occur during pregnancy, for example, as a result of maternal substance abuse. Once a child is born, neglect may involve a parent or carer failing to: provide adequate food, clothing and shelter (including exclusion from home or abandonment); protect a child from physical and emotional harm or danger; ensure adequate supervision (including the use of inadequate care-givers); or ensure access to appropriate medical care or treatment. It may also include neglect of, or unresponsiveness to, a child's basic emotional needs.

Specific safeguarding issues

47. **All** staff should have an awareness of safeguarding issues that can put children at risk of harm. Behaviours linked to issues such as drug taking, alcohol abuse, deliberately missing education and sexting (also known as youth produced sexual imagery) put children in danger.

48. **All** staff should be aware that safeguarding issues can manifest themselves via peer on peer abuse. This is most likely to include, but may not be limited to:

- bullying (including cyberbullying);
- physical abuse such as hitting, kicking, shaking, biting, hair pulling, or otherwise causing physical harm;
- sexual violence and sexual harassment;
- sexting (also known as youth produced sexual imagery); and
- initiation/hazing type violence and rituals.

49. **All** staff should be clear as to the school's or college's policy and procedures with regards to peer on peer abuse.

50. Safeguarding incidents and/or behaviours can be associated with factors outside the school or college and/or can occur between children outside the school or college. All staff, but especially the designated safeguarding lead (and deputies) should be considering the context within which such incidents and/or behaviours occur. This is known as contextual safeguarding, which simply means assessments of children should consider whether wider environmental factors are present in a child's life that are a threat to their safety and/or welfare. Children's social care assessments should consider such factors so it is important that schools and colleges provide as much information as possible as part of the referral process. This will allow any assessment to consider all the available evidence and the full context of any abuse. Additional information regarding contextual safeguarding is available here: [Contextual Safeguarding](#).

51. **Annex A** contains important additional information about specific forms of abuse and safeguarding issues. School and college leaders and those staff who work directly with children should read the annex.

Part two: The management of safeguarding

The responsibility of governing bodies, proprietors and management committees

Legislation and the law

52. Governing bodies and proprietors¹³ (in Part two, unless otherwise stated, includes management committees) must ensure that they comply with their duties under legislation. They must have regard to this guidance, ensuring that policies, procedures and training in their schools or colleges are effective and comply with the law at all times.¹⁴

53. Governing bodies and proprietors should have a senior board level (or equivalent) lead to take **leadership** responsibility for their school's or college's safeguarding arrangements.¹⁵

Safeguarding policies and procedures

54. Governing bodies and proprietors should ensure there are appropriate policies and procedures in place in order for appropriate action to be taken in a timely manner to safeguard and promote children's welfare.

55. This should include:

- Individual schools and colleges having an effective child protection policy. The child protection policy should describe procedures which are in accordance with government guidance and refer to locally agreed multi-agency safeguarding arrangements put in place by the three safeguarding partners. It should be

¹³ In the case of academies, free schools and alternative provision academies the proprietor will be the academy trust.

¹⁴ Section 175 of the Education Act 2002 requires governing bodies of maintained schools and colleges, in relation to their functions relating to the conduct of the school or the institution to make arrangements for ensuring that such functions are exercised with a view to safeguarding and promoting the welfare of children who are either pupils at the school or are receiving education or training at the institution. The Education (Independent School Standards) Regulations 2014 apply a duty to proprietors of independent schools (which in the case of academies and free schools is the academy trust) to ensure that arrangements are made to safeguard and promote the welfare of children. The Non-Maintained Special Schools (England) Regulations 2015 oblige non-maintained special schools to comply with certain requirements as a condition of their approval and whilst approved by the Secretary of State. One condition of approval is that the proprietor must make arrangements for safeguarding and promoting the health, safety and welfare of pupils, which have regard to any guidance including where appropriate, the National Minimum Standards, about safeguarding and promoting the health, safety and welfare of pupils and, in the case of schools already approved, that these arrangements at the school with respect to these matters are in accordance with the approval given by the Secretary of State. For colleges, non-maintained special schools and independent schools: the definition of 'children' applies to the statutory responsibilities for safeguarding and promoting the welfare of children i.e. those under 18.

¹⁵ Chapter 2 of [Working Together to Safeguard Children](#).

updated annually (as a minimum), and be available publicly either via the school or college website or by other means.

- A staff behaviour policy (sometimes called the code of conduct) which should, amongst other things, include - acceptable use of technologies, staff/pupil relationships and communications including the use of social media.¹⁶
- Governing bodies and proprietors should put in place appropriate safeguarding responses to children who go missing from education, particularly on repeat occasions, to help identify the risk of abuse and neglect, including sexual abuse or exploitation, and to help prevent the risks of their going missing in future.
 - Where reasonably possible, schools and colleges should hold more than one emergency contact number for each pupil or student. This goes beyond the legal minimum¹⁷ and is good practice to give the school or college additional options to make contact with a responsible adult when a child missing education is also identified as a welfare and/or safeguarding concern. Further information for schools can be found in the department's [School Attendance Guidance](#).
 - Further information on schools' duties regarding children missing education, including information schools must provide to the local authority when removing a child from the school roll at standard and non-standard transition points can be found in the department's statutory guidance: [Children Missing Education](#).
 - Further information for colleges providing education for a child of compulsory school age can be found in: [Full-time-Enrolment of 14 to 16 year olds in Further Education and Sixth Form Colleges](#).
 - General information and advice for schools and colleges can be found in the Government's [Missing Children and Adults Strategy](#).

56. The above is not intended to be an exhaustive list. These policies and procedures, along with Part one of this guidance and information regarding the role and identity of the designated safeguarding lead (and any deputies), should be provided to all staff on induction.

57. Governing bodies and proprietors should take a proportionate risk-based

¹⁶ When drafting the staff behaviour policy, schools and colleges should bear in mind the offence under section 16 of The Sexual Offences Act 2003, which provides that it is an offence for a person aged 18 or over (e.g. teacher, youth worker) to have a sexual relationship with a child under 18 where that person is in a position of trust in respect of that child, even if the relationship is consensual. A situation where a person is in a position of trust could arise where the child is in full-time education and the person looks after children under 18 in the same establishment as the child, even if s/he does not teach the child.

¹⁷ legislation.gov.uk

approach to the level of information that is provided to temporary staff and volunteers.

58. Headteachers and principals should ensure that the above policies and procedures, adopted by governing bodies and proprietors, and particularly concerning referrals of cases of suspected abuse and neglect, are followed by **all** staff.

The designated safeguarding lead

59. Governing bodies and proprietors should ensure an appropriate **senior member** of staff, from the school or college **leadership team**, is appointed to the role of designated safeguarding lead. The designated safeguarding lead should take **lead responsibility** for safeguarding and child protection. This should be explicit in the role-holder's job description (see Annex B, which describes the broad areas of responsibility and activities related to the role).

60. It is a matter for individual schools and colleges as to whether they choose to have one or more deputy designated safeguarding leads. Any deputies should be trained to the same standard as the designated safeguarding lead.

61. Whilst the activities of the designated safeguarding lead can be delegated to appropriately trained deputies, the ultimate **lead responsibility** for safeguarding and child protection, as set out above, remains with the designated safeguarding lead. This responsibility should not be delegated.

62. The designated safeguarding lead and any deputies should liaise with the three safeguarding partners and work with other agencies in line with [Working Together to Safeguard Children](#).

63. During term time, the designated safeguarding lead and/or a deputy should always be available (during school or college hours) for staff in the school or college to discuss any safeguarding concerns. It is a matter for individual schools and colleges and the designated safeguarding lead to arrange adequate and appropriate cover arrangements for any out of hours/out of term activities.

64. The designated safeguarding lead and any deputies should undergo training to provide them with the knowledge and skills required to carry out the role. The training should be updated every two years.

65. In addition to their formal training as set out above, their knowledge and skills should be updated, (for example via e-bulletins, meeting other designated safeguarding leads, or taking time to read and digest safeguarding developments), at regular intervals, and at least annually, to keep up with any developments relevant to their role.

Multi-agency working¹⁸

66. Schools and colleges have a pivotal role to play in multi-agency safeguarding arrangements. Governing bodies and proprietors should ensure that the school or college contributes to multi-agency working in line with statutory guidance [Working Together to Safeguard Children](#). It is especially important that schools and colleges understand their role in the new safeguarding partner arrangements.

67. The three safeguarding partners have a shared and equal duty to work together to safeguard and promote the welfare of children. To fulfil this role, they must set out how they will work together and with any relevant agencies.¹⁹ Relevant agencies are those organisations and agencies whose involvement the three safeguarding partners consider may be required to safeguard and promote the welfare of children with regard to local need. The three safeguarding partners must set out in their published arrangements which organisations and agencies they will be working with and the expectations placed on any agencies and organisations by the new arrangements.

68. The three safeguarding partners should make arrangements to allow all schools (including multi-academy trusts) and colleges in the local area to be fully engaged, involved and included in the new safeguarding arrangements. It is expected that, locally, the three safeguarding partners will name schools and colleges as relevant agencies and will reach their own conclusions on how best to achieve the active engagement of individual institutions in a meaningful way.

69. If named as a relevant agency, schools and colleges, in the same way as other relevant agencies, are under a statutory duty to co-operate with the published arrangements.

70. Governing bodies and proprietors should understand the local criteria for action²⁰

¹⁸ The department has published [Working Together Transitional Statutory Guidance](#) to support Local Safeguarding Children Boards (LSCBs), the new safeguarding and child death review partners, and the new Child Safeguarding Practice Review Panel in the transition from LSCBs and serious case reviews (SCRs) to a new system of multi-agency arrangements and local and national child safeguarding practice reviews. Locally, the three safeguarding partners (the local authority; a clinical commissioning group for an area within the local authority; and the chief officer of police for a police area in the local authority area) will make arrangements to work together to safeguard and promote the welfare of local children, including identifying and responding to their needs. Governing bodies, proprietors, management committees and their senior leadership teams, especially their designated safeguarding leads, should be aware of their local arrangements and timelines for the transition. Keeping Children Safe in Education 2018 has been drafted in line with revised [Working Together to Safeguard Children](#) to reflect these new arrangements. Details of the new local arrangements must be published by the safeguarding partners no later than 29 June 2019 and be in place no later than 29 September 2019. Until the new arrangements are in place, schools and colleges should continue to work in partnership with the LSCB and follow any relevant local arrangements.

¹⁹ A list of relevant agencies is available at: legislation.gov.uk. Schools and colleges are included.

²⁰ The safeguarding partners should publish a document which sets out the local criteria for action in a way that is transparent, accessible and easily understood. This should include: the process for the early help assessment and the type and level of early help services to be provided; the criteria, including level of need, for when a case should be referred to local authority children's social care for assessment and for statutory services under section 17, 20, 31 and

and the local protocol for assessment²¹ and ensure they are reflected in their own policies and procedures. They should also be prepared to supply information as requested by the three safeguarding partners.²²

71. Schools and colleges should work with social care, the police, health services and other services to promote the welfare of children and protect them from harm. This includes providing a coordinated offer of early help when additional needs of children are identified and contributing to inter-agency plans to provide additional support to children subject to child protection plans. All schools and colleges should allow access for children's social care from the host local authority and, where appropriate, from a placing local authority, for that authority to conduct, or to consider whether to conduct, a section 17 or a section 47 assessment.

Information sharing

72. Information sharing is vital in identifying and tackling all forms of abuse and neglect.

73. As part of meeting a child's needs, it is important for governing bodies and proprietors to recognise the importance of information sharing between practitioners and local agencies. This should include ensuring arrangements are in place that set out clearly the process and principles for sharing information within the school or college and with the three safeguarding partners, other organisations, agencies and practitioners as required. School and college staff should be proactive in sharing information as early as possible to help identify, assess and respond to risks or concerns about the safety and welfare of children, whether this is when problems are first emerging, or where a child is already known to local authority children's social care.

74. It is important that governing bodies and proprietors are aware that among other obligations, the Data Protection Act 2018 and the GDPR place duties on organisations and individuals to process personal information fairly and lawfully and to keep the information they hold safe and secure.

75. The Data Protection Act 2018 and GDPR do not prevent, or limit, the sharing of information for the purposes of keeping children safe. Fears about sharing information must not be allowed to stand in the way of the need to promote the welfare and protect the safety of children.

47 of the Children Act 1989; and clear procedures and processes for cases relating to the exploitation of children, children managed within the youth secure estate and disabled children.

²¹ The local authority, with their partners, should develop and publish local protocols for assessment. Protocols should set out clear arrangements for how cases will be managed once a referral is made to children's social care.

²² More details on information requests by the safeguarding partners is provided in Part 3 of [Working Together to Safeguard Children](#).

76. Governing bodies and proprietors should ensure relevant staff have due regard to the data protection principles, which allow them to share personal information, as provided for in the Data Protection Act 2018, and the GDPR. Relevant staff should be confident of the processing conditions under the Data Protection Act 2018 and the GDPR which allow them to store and share information for safeguarding purposes, including information which is sensitive and personal, and should be treated as 'special category personal data'.

77. Governing bodies and proprietors should ensure that staff who need to share 'special category personal data' are aware that the Data Protection Act 2018 contains 'safeguarding of children and individuals at risk' as a processing condition that allows practitioners to share information. This includes allowing practitioners to share information without consent, if it is not possible to gain consent, it cannot be reasonably expected that a practitioner gains consent, or if to gain consent would place a child at risk.

78. Further details on information sharing can be found:

- in Chapter one of [Working Together to Safeguard Children](#), which includes a myth-busting guide to information sharing;
- at [Information Sharing: Advice for Practitioners Providing Safeguarding Services to Children, Young People, Parents and Carers](#). The seven golden rules for sharing information will be especially useful; and
- at [The Information Commissioner's Office \(ICO\)](#), which includes ICO GDPR FAQs and guidance from the department.

79. Where children leave the school or college, the designated safeguarding lead should ensure their child protection file is transferred to the new school or college as soon as possible, ensuring secure transit, and confirmation of receipt should be obtained. For schools, this should be transferred separately from the main pupil file. Receiving schools and colleges should ensure key staff such as designated safeguarding leads and SENCOs or the named person with oversight for SEN in a college, are aware as required.

80. In addition to the child protection file, the designated safeguarding lead should also consider if it would be appropriate to share any information with the new school or college in advance of a child leaving. For example, information that would allow the new school or college to continue supporting victims of abuse and have that support in place for when the child arrives.

Staff training

81. Governing bodies and proprietors should ensure that all staff undergo safeguarding and child protection training (including online safety) at induction. The

training should be regularly updated. Induction and training should be in line with advice from the local three safeguarding partners.

82. In addition, all staff should receive regular safeguarding and child protection updates (for example, via email, e-bulletins, staff meetings) as required, and at least annually, to provide them with relevant skills and knowledge to safeguard children effectively.

83. Governing bodies and proprietors should recognise the expertise staff build by undertaking safeguarding training and managing safeguarding concerns on a daily basis. Opportunity should therefore be provided for staff to contribute to and shape safeguarding arrangements and child protection policy.

Online safety

84. As schools and colleges increasingly work online, it is essential that children are safeguarded from potentially harmful and inappropriate online material. As such, governing bodies and proprietors should ensure appropriate filters and appropriate monitoring systems are in place. Additional information to support governing bodies and proprietors keep their children safe online is provided in Annex C.

Opportunities to teach safeguarding

85. Governing bodies and proprietors should ensure that children are taught about safeguarding, including online safety. Schools should consider this as part of providing a broad and balanced curriculum.

86. This may include covering relevant issues through Relationships Education and Relationships and Sex Education (formerly known as Sex and Relationship Education), tutorials (in colleges) and/or where delivered, through Personal, Social, Health and Economic (PSHE) education.

87. Whilst it is essential that governing bodies and proprietors ensure that appropriate filters and monitoring systems are in place, they should be careful that “over blocking” does not lead to unreasonable restrictions as to what children can be taught with regard to online teaching and safeguarding.

Inspection

88. From September 2015, all inspections by Ofsted have been made under: [The common inspection framework: education, skills and early years](#). Inspectors will always report on whether or not arrangements for safeguarding children and learners are effective. Ofsted has published a document setting out the approach inspectors should take to inspecting safeguarding: [Inspecting safeguarding in early years, education and skills](#). Individual inspectorates will also report on safeguarding arrangements and have

published frameworks which inform how they inspect the independent schools that are not inspected by Ofsted at: [School Inspection Service](#) and [Independent Schools Inspectorate](#).

Safer recruitment

89. In line with Part three of this guidance, governing bodies and proprietors should prevent people who pose a risk of harm from working with children by adhering to statutory responsibilities to check staff who work with children, taking proportionate decisions on whether to ask for any checks beyond what is required and ensuring volunteers are appropriately supervised. The school or college should have written recruitment and selection policies and procedures in place.

90. The School Staffing (England) Regulations 2009 require governing bodies of maintained schools to ensure that at least one of the persons who conducts an interview has completed safer recruitment training.²³ Governing bodies of maintained schools may choose appropriate training and may take advice from the local three safeguarding partners in doing so. The training should cover, as a minimum, the content of this guidance.

What school and college staff should do if they have concerns about another staff member who may pose a risk of harm to children

91. Governing bodies and proprietors should ensure there are procedures in place (as described in paragraph 37) to manage concerns/allegations, against staff (including volunteers) that might indicate they would pose a risk of harm to children. Such allegations should be referred to the designated officer(s) at the local authority by the appropriate person as set out in Part four of this guidance.

92. There must be procedures in place to make a referral to the Disclosure and Barring Service (DBS) if a person in regulated activity has been dismissed or removed due to safeguarding concerns, or would have been had they not resigned.²⁴

93. **This is a legal duty and failure to refer when the criteria are met is a criminal offence.**²⁵ More detail is provided at paragraph 157.

Peer on peer abuse

94. **All staff should recognise that children are capable of abusing their peers.** All staff should be clear about their school's or college's policy and procedures with regard

²³ Regulation 9 of the School Staffing (England) Regulations 2009.

²⁴ Section 35 of the Safeguarding Vulnerable Groups Act 2006.

²⁵ Section 38 of the Safeguarding Vulnerable Groups Act 2006.

to peer on peer abuse.

95. Governing bodies and proprietors should ensure that their child protection policy includes:

- procedures to minimise the risk of peer on peer abuse;
- how allegations of peer on peer abuse will be recorded, investigated and dealt with;
- clear processes as to how victims, perpetrators and any other child affected by peer on peer abuse will be supported;
- a clear statement that abuse is abuse and should never be tolerated or passed off as “banter”, “just having a laugh” or “part of growing up”;
- recognition of the gendered nature of peer on peer abuse (i.e. that it is more likely that girls will be victims and boys perpetrators), but that all peer on peer abuse is unacceptable and will be taken seriously; and
- the different forms peer on peer abuse can take, such as:
 - sexual violence and sexual harassment. Part five of this guidance sets out how schools and colleges should respond to reports of sexual violence and sexual harassment;
 - physical abuse such as hitting, kicking, shaking, biting, hair pulling, or otherwise causing physical harm;
 - sexting (also known as youth produced sexual imagery): the policy should include the school’s or college’s approach to it. The department provides [Searching Screening and Confiscation Advice](#) for schools. The UK Council for Child Internet Safety (UKCCIS) Education Group has published [Advice for Schools and Colleges on Responding to Sexting Incidents](#); and
 - initiation/hazing type violence and rituals.

The child’s wishes

96. Where there is a safeguarding concern, governing bodies, proprietors and school or college leaders should ensure the child’s wishes and feelings are taken into account when determining what action to take and what services to provide. Systems should be in place for children to express their views and give feedback. Ultimately, all systems and processes should operate with the **best** interests of the child at their heart.

Boarding schools, residential special schools, residential colleges and children's homes

97. Boarding schools, residential special schools, residential colleges and children's homes have additional factors to consider with regard to safeguarding. Schools and colleges that provide such residential accommodation and/or are registered as children's homes should be alert to inappropriate pupil or student relationships and the potential for peer on peer abuse, particularly in schools and colleges with a significant gender imbalance. Further details can be found at Annex D.

Looked after children and previously looked after children

98. The most common reason for children becoming looked after²⁶ is as a result of abuse and/or neglect. Governing bodies and proprietors should ensure that staff have the skills, knowledge and understanding to keep looked after children safe.

99. In particular, they should ensure that appropriate staff have the information they need in relation to a child's looked after legal status (whether they are looked after under voluntary arrangements with consent of parents or on an interim or full care order) and the child's contact arrangements with birth parents or those with parental responsibility. They should also have information about the child's care arrangements and the levels of authority delegated to the carer by the authority looking after him/her. The designated safeguarding lead²⁷ should have details of the child's social worker and the name of the virtual school head in the authority that looks after the child.

100. A previously looked after child potentially remains vulnerable and all staff should have the skills, knowledge and understanding to keep previously looked after children safe. When dealing with looked after children and previously looked after children, it is important that all agencies work together and prompt action is taken when necessary to safeguard these children, who are a particularly vulnerable group.

The designated teacher

101. Governing bodies of maintained schools and proprietors of academies must appoint a designated teacher²⁸ and should work with local authorities to promote the educational achievement of registered pupils who are looked after. With the

²⁶ A child who is looked after by a local authority (referred to as a looked-after-child) as defined in section 22 Children Act 1989, means a child who is subject to a care order (interim or full care order) or who is voluntarily accommodated by the local authority.

²⁷ In maintained schools and academies the designated safeguarding lead should work closely with the designated teacher.

²⁸ Section 20 of the Children and Young Persons Act 2008 sets this requirement for maintained schools. This legislation and accompanying statutory guidance on [the role of designated teacher](#) applies to academies through their funding agreements.

commencement of sections 4 to 6 of the Children and Social Work Act 2017, designated teachers have responsibility for promoting the educational achievement of children who have left care through adoption, special guardianship or child arrangement orders or who were adopted from state care outside England and Wales.²⁹ The designated teacher must have appropriate training and the relevant qualifications and experience.³⁰ In other schools and colleges, an appropriately trained teacher should take the lead.

102. Statutory guidance contains further information on [The Role and Responsibilities of the Designated Teacher](#).

Virtual school heads

103. Virtual school heads³¹ manage pupil premium plus for looked after children;³² they receive this funding based on the latest published number of children looked after by the local authority. In maintained schools and academies, the designated teacher should work with the virtual school head to discuss how funding can be best used to support the progress of looked after children in the school and meet the needs identified in the child's personal education plan.³³ The designated teacher should also work with the virtual school head to promote the educational achievement of previously looked after children. In other schools and colleges, an appropriately trained teacher should take the lead.

104. As with designated teachers, following the commencement of sections 4 to 6 of the Children and Social Work Act 2017, virtual school heads have responsibilities towards children who have left care through adoption, special guardianship or child arrangement orders or who were adopted from state care outside England or Wales. Their primary role for this group will be the provision of information and advice to relevant parties.³⁴

105. Statutory guidance on [Promoting the Education of Looked After Children](#) contains further information on the roles and responsibilities of virtual school heads.

²⁹ For the purposes of the role of the virtual school head and designated teacher, under the Children and Social Work Act 2017, previously looked-after children are those who: are no longer looked after by a local authority in England and Wales (as defined by the Children Act 1989 or Part 6 of the Social Services and Well-being (Wales) Act 2014) because they are the subject of an adoption, special guardianship or child arrangements order; or were adopted from 'state care' outside England and Wales.

³⁰ Section 20(3) of the Children and Young Persons Act 2008 and regulation 3 of the Designated Teacher (Looked After Pupils etc) (England) Regulations 2009.

³¹ Section 22(3B) of the Children Act 1989 requires local authorities in England to appoint at least one person for the purpose of discharging the local authority's duty to promote the educational achievement of its looked after children. That person (known as the virtual school head) must be an officer employed by the authority or another local authority in England.

³² Pupil premium plus for previously looked after children is managed by their school.

³³ All looked after children must have a personal education plan (PEP). This is part of the care plan that the local authority looking after the child must have in place and review regularly.

³⁴ Any person that has parental responsibility for the child; providers of funded early years education, designated teachers for previously looked-after children in maintained schools and academies, and any other person the authority considers appropriate for promoting the educational achievement of relevant children.

Care leavers

106. Local authorities have on-going responsibilities to the young people who cease to be looked after and become care leavers.³⁵ That includes keeping in touch with them, preparing an assessment of their needs and appointing a personal adviser who develops a pathway plan with the young person. This plan describes how the local authority will support the care leaver to participate in education or training. Designated safeguarding leads should therefore have details of the local authority Personal Advisor appointed to guide and support the care leaver, and should liaise with them as necessary regarding any issues of concern affecting the care leaver.

Children with special educational needs and disabilities

107. Children with special educational needs (SEN) and disabilities can face additional safeguarding challenges. Governing bodies and proprietors should ensure their child protection policy reflects the fact that additional barriers can exist when recognising abuse and neglect in this group of children. These can include:

- assumptions that indicators of possible abuse such as behaviour, mood and injury relate to the child's disability without further exploration;
- being more prone to peer group isolation than other children;
- the potential for children with SEN and disabilities being disproportionately impacted by behaviours such as bullying, without outwardly showing any signs; and
- communication barriers and difficulties in overcoming these barriers.

To address these additional challenges, schools and colleges should consider extra pastoral support for children with SEN and disabilities.

The use of 'reasonable force' in schools and colleges

108. There are circumstances when it is appropriate for staff in schools and colleges to use reasonable force to safeguard children and young people. The term 'reasonable force' covers the broad range of actions used by staff that involve a degree of physical contact to control or restrain children. This can range from guiding a child to safety by the arm, to more extreme circumstances such as breaking up a fight or where a young person needs to be restrained to prevent violence or injury. 'Reasonable' in these circumstances means 'using no more force than is needed'. The use of force may involve

³⁵ A care leaver who is 16 or 17 (referred to in legislation as a 'relevant child' is defined in section 23A(2) of the Children Act 1989 as a child who is (a) not looked after (b) aged 16 or 17, and (c) was, before ceasing to be looked after by a local authority, looked after for a period of 13 weeks, or periods amounting in total to 13 weeks, beginning after s/he reached the age of 14 and ended after s/he reached the age of 16.

either passive physical contact, such as standing between pupils or blocking a pupil's path, or active physical contact such as leading a pupil by the arm out of the classroom.

- Departmental advice for schools is available at [Use of Reasonable Force in Schools](#).

109. The department believes that the adoption of a 'no contact' policy at a school or college can leave staff unable to fully support and protect their pupils and students. It encourages headteachers, principals, governing bodies and proprietors to adopt sensible policies, which allow and support their staff to make appropriate physical contact. The decision on whether or not to use reasonable force to control or restrain a child is down to the professional judgement of the staff concerned and should always depend on individual circumstances.

110. When using reasonable force in response to risks presented by incidents involving children with SEN or disabilities or with medical conditions, schools and colleges should in considering the risks carefully recognise the additional vulnerability of these groups. They should also consider their duties under the Equality Act 2010³⁶ in relation to making reasonable adjustments, non-discrimination and their Public Sector Equality Duty.³⁷ By planning positive and proactive behaviour support, for instance through drawing up individual behaviour plans for more vulnerable children, and agreeing them with parents and carers, schools and colleges can reduce the occurrence of challenging behaviour and the need to use reasonable force.

³⁶ [Advice for Schools](#) and [Advice for Further and Higher Education](#).

³⁷ Compliance with the Public Sector Equality Duty (PSED) is a legal requirement for schools and colleges that are public bodies. The Equality and Human Rights Commission provides the following general guidance for schools that are subject to the [PSED](#).

Part three: Safer recruitment

Recruitment, selection and pre-employment vetting

111. It is vital that schools and colleges create a culture of safe recruitment and, as part of that, adopt recruitment procedures that help deter, reject or identify people who might abuse children, (see also paragraphs 89-90 about safer recruitment). This part of the guidance describes in detail those checks that are, or may be, required for any individual working in any capacity at, or visiting, the school or college. Governing bodies and proprietors must act reasonably in making decisions about the suitability of the prospective employee based on checks and evidence, including criminal record checks (Disclosure and Barring Service (DBS) checks), barred list checks and prohibition checks, together with references and interview information.³⁸

112. As outlined in this guidance, the level of DBS certificate required, and whether a check for any prohibition, direction, sanction, or restriction is required (see paragraphs 122-129), will depend on the role that is being offered and duties involved.

113. As the majority of staff will be engaging in regulated activity, an enhanced DBS certificate which includes barred list information, will be required for most appointments. In summary, a person will be considered to be engaging in regulated activity if, as a result of their work, they:

- will be responsible, on a regular basis in a school or college, for teaching, training instructing, caring for or supervising children; or
- will carry out paid, or unsupervised unpaid, work regularly in a school or college where that work provides an opportunity for contact with children;³⁹ or
- engage in intimate or personal care or overnight activity, even if this happens only once.

A more detailed description of regulated activity is provided at page 31.

114. For all other staff who have an opportunity for regular contact with children who are not engaging in regulated activity, an enhanced DBS certificate, which does not

³⁸ Regulations 12 and 24 of the School Staffing (England) Regulations 2009 for maintained schools, apply also to the management committee of pupil referral units through the Education (Pupil Referral Units) (Application of Enactments) (England) Regulations 2007. Part 4 of the Schedule to the Education (Independent School Standards) (England) Regulations 2014, applies to independent schools, including free schools and academies. Regulation 3 and paragraphs 4, 5 and 6 of Part 1 and paragraphs 15, 16 and 17 of Part 2 of the Schedule to the Non-Maintained Special Schools (England) Regulations 2015 apply to non-maintained special schools. Regulation 5 of the Further Education (Providers of Education) (England) Regulations 2006 apply to colleges.

³⁹ Applies to any college that provides, exclusively or mainly, full-time education to children, i.e. persons under the age of 18.

include a barred list check, will be appropriate. This would include contractors (see paragraphs 173-176 for further information about contractors) who would have the opportunity for contact with children and who work under a temporary or occasional contract.⁴⁰

115. In a school or college, a **supervised** volunteer who regularly teaches or looks after children is not in regulated activity.⁴¹ The government has published separate statutory guidance on supervision in relation to regulated activity (see Annex F). When schools and colleges are considering which checks should be undertaken on volunteers, they should have regard to that guidance, together with paragraphs 161-166. However, schools and colleges may choose to carry out an enhanced DBS check, without barred list information, in certain circumstances (see paragraph 163).

116. In addition to obtaining any DBS certificate as described above, any member of staff who is appointed to carry out teaching work will require an additional check to ensure they are not prohibited from teaching.⁴² For those engaged in management roles (in independent schools - including academies and free schools) an additional check is required to ensure they are not prohibited under section 128 provisions.⁴³ See the 'Pre-appointment checks' section from page 36.

⁴⁰ Temporary or occasional is not further defined by legislation. Employers should apply the ordinary meaning of these terms, i.e. occasional - 'a particular occasion or on an irregular basis'; temporary services - 'lasting only for a limited period, not permanent'.

⁴¹ 'Supervised' and 'unsupervised' have a particular meaning in relation to regulated activity.

⁴² The Teachers' Disciplinary (England) Regulations 2012 apply to schools and sixth form colleges and any person that is subject to a prohibition order is prohibited from carrying out teaching work in those establishments. By virtue of their Conditions of Funding in respect of funding received from the Education and Skills Funding Agency, before employing a person to carry out teaching work in relation to children, colleges must take reasonable steps to establish whether that person is subject to a prohibition order made under section 141B of the Education Act 2002, and may not employ or engage a person who is subject to a prohibition order in such a role. The School Staffing (England) Regulations 2009, the Non-Maintained Special Schools (England) Regulations 2015 and the Education (Independent School Standards) Regulations 2014 require governing bodies or proprietors to check that a person to be appointed is not subject to an interim prohibition order.

⁴³ Section 128 of the Education and Skills Act 2008 provides for the Secretary of State to direct that a person may be prohibited or restricted from participating in the management of an independent school (which includes academies and free schools).

Regulated activity

The full legal definition of regulated activity is set out in Schedule 4 of the Safeguarding Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012. HM Government has produced a [Factual note on regulated activity in relation to children: scope](#).

Regulated activity includes:

- a) teaching, training, instructing, caring for (see (c) below) or supervising children if the person is unsupervised, or providing advice or guidance on physical, emotional or educational well-being, or driving a vehicle only for children;
- b) work for a limited range of establishments (known as 'specified places', which include schools and colleges), with the opportunity for contact with children, but not including work done by supervised volunteers.

Work under (a) or (b) is regulated activity only if done regularly.⁴⁴ Some activities are always regulated activities, regardless of frequency or whether they are supervised or not. This includes:

- c) relevant personal care, or health care provided by or provided under the supervision of a health care professional:
 - personal care includes helping a child with eating and drinking for reasons of illness or disability or in connection with toileting, washing, bathing and dressing for reasons of age, illness or disability;⁴⁵
 - health care means care for children provided by, or under the direction or supervision of, a regulated health care professional.

⁴⁴ The Safeguarding Vulnerable Groups Act 2006 provides that the type of work referred to at (a) or (b) will be regulated activity if "it is carried out frequently by the same person" or if "the period condition is satisfied". Paragraph 10 of Schedule 4 to this Act says the period condition is satisfied if the person carrying out the activity does so at any time on more than three days in any period of 30 days and, for the purposes of the work referred to at (a), apart from driving a vehicle only for children, it is also satisfied if it is done at any time between 2am and 6am and it gives the person the opportunity to have face to face contact with children.

⁴⁵ It is not intended that personal care includes such activities as, for example, parent volunteers helping with costumes for school plays or helping a child lace up football boots.

Types of check

Disclosure and Barring Service (DBS) checks

117. Three types of DBS checks are referred to in this guidance (see Annex G for more information):

- **Standard:** this provides information about convictions, cautions, reprimands and warnings held on the Police National Computer (PNC), regardless or not of whether they are spent under the Rehabilitation of Offenders Act 1974. The law allows for certain old and minor matters to be filtered out;
- **Enhanced:** this provides the same information as a standard check, plus any approved information held by the police which a chief officer reasonably believes to be relevant and considers ought to be disclosed; and
- **Enhanced with barred list check:** where people are working or seeking to work in regulated activity with children, this allows an additional check to be made as to whether the person appears on the children's barred list.

A more detailed description of the three types of DBS checks is provided on the [DBS website](#).

118. The DBS maintains 'barred lists' of individuals who are unsuitable to work with children and vulnerable adults. Where barred list information is requested, and 'children's workforce independent schools' is specified in the parameters for that check, the certificate will also detail whether the applicant is subject to a direction made under section 128 of the Education and Skills Act 2008 or section 167A of the Education Act 2002. Such a direction prohibits an individual from taking part in the management (including governors if the governing body is the proprietor body for the school) of independent educational institutions in England and/or Wales respectively, see paragraphs 124-127. A person prohibited under section 128 is also disqualified from holding or continuing to hold office as a governor of a maintained school.⁴⁶

119. Once the checks are complete, the DBS will send a certificate (the DBS certificate) to the applicant. The applicant must show the original DBS certificate to their potential employer before they take up post or as soon as practicable afterwards.

120. Where a school or college allows an individual to start work in regulated activity

⁴⁶ As barred list information is required to be requested only for those school governors who are engaging in regulated activity, when proposing to recruit a governor who will not work in regulated activity, schools and colleges should use the Secure Access Portal to check whether the person is barred as a result of being subject to a section 128 direction. The process for using the Secure Access Portal to make this check is set out in paragraph 130.

before the DBS certificate is available, they should ensure that the individual is appropriately supervised and that all other checks, including a separate barred list check, have been completed.

121. If a school or college knows or has reason to believe that an individual is barred, it commits an offence if it allows the individual to carry out any form of regulated activity.⁴⁷ There are penalties of up to five years in prison if a barred individual is convicted of attempting to engage or engaging in such work.⁴⁸

Prohibitions, directions, sanctions and restrictions

Secretary of State teacher prohibition, and interim prohibition, orders^{49 50}

122. Teacher prohibition, and interim prohibition, orders prevent a person from carrying out teaching work⁵¹ in schools, sixth form colleges, 16 to 19 academies, relevant youth accommodation and children's homes in England. A person who is prohibited must not be appointed to a role that involves teaching work (see footnote 51).

123. Teacher prohibition orders are made by the Secretary of State following consideration by a professional conduct panel convened by the TRA. Pending such consideration, the Secretary of State may issue an interim prohibition order if it is considered to be in the public interest to do so. The TRA's role in making prohibition orders and the process used to impose them are described in more detail in its publication [Teacher Misconduct: The Prohibition of Teachers](#).

Secretary of State Section 128 direction

124. A section 128 direction prohibits or restricts a person from taking part in the management of an independent school, including academies and free schools. A person

⁴⁷ Section 9, Safeguarding Vulnerable Groups Act 2006.

⁴⁸ Section 7, Safeguarding Vulnerable Groups Act 2006.

⁴⁹ Prohibition orders are made by the Secretary of State under section 141B of the Education Act 2002. The Teachers' Disciplinary (England) Regulations 2012 apply to schools and sixth form colleges and any person that is subject to a prohibition order is prohibited from carrying out teaching work in those establishments. By virtue of their Conditions of Funding in respect of funding received from the Education and Skills Funding Agency, colleges may not employ or engage a person who is subject to a prohibition order to carry out teaching work.

⁵⁰ The School Staffing (England) Regulations 2009, the Non-Maintained Special Schools (England) Regulations 2015 and the Education (Independent School Standards) Regulations 2014 require governing bodies or proprietors (of schools and sixth form colleges) to check that a person to be appointed is not subject to an interim prohibition order. By virtue of their Conditions of Funding in respect of funding received from the Education and Skills Funding Agency, before employing a person to carry out teaching work in relation to children, colleges must take reasonable steps to establish whether that person is subject to a prohibition order made under section 141B of the Education Act 2002.

⁵¹ The Teachers' Disciplinary (England) Regulations 2012 define teaching work as: planning and preparing lessons and courses for pupils; delivering lessons to pupils; assessing the development, progress and attainment of pupils; and reporting on the development, progress and attainment of pupils. These activities are not teaching work for the purposes of these Regulations if the person carrying out the activity does so (other than for the purposes of induction) subject to the direction and supervision of a qualified teacher or other person nominated by the head teacher to provide such direction and supervision.

who is prohibited is unable to participate in any management of an independent school such as:

- a management position in an independent school, academy or free school as an employee;
- a trustee of an academy or free school trust; a governor or member of a proprietor body for an independent school; or
- a governor on any governing body in an independent school, academy or free school that retains or has been delegated any management responsibilities.

125. The Secretary of State is able to make directions prohibiting individuals from taking part in independent school management under section 128 of the Education and Skills Act 2008. Individuals taking part in ‘management’ may include individuals who are members of proprietor bodies (including governors if the governing body is the proprietor body for the school), and such staff positions as follows: head teacher, any teaching positions on the senior leadership team, and any teaching positions which carry a department headship. Whether other individuals such as teachers with additional responsibilities could be prohibited from ‘taking part in management’ depends on the facts of each case.

126. A section 128 direction disqualifies a person from holding or continuing to hold office as a governor of a maintained school.⁵²

127. The grounds on which a section 128 direction may be made by the Secretary of State are found in the relevant regulations.⁵³

Historic General Teaching Council for England (GTCE) sanctions and restrictions

128. There remain a number of individuals who are still subject to disciplinary sanctions, which were imposed by the GTCE (prior to its abolition in 2012).

European Economic Area (EEA) regulating authority teacher sanctions or restrictions

129. These sanctions and restrictions are imposed by EEA professional regulating authorities on or after 18 January 2016 and which have been notified to the TRA (see also paragraphs 150-151).

⁵² School Governance (Constitution) (England) Regs 2012 as amended by the School Governance (Constitution and Federations) England) (Amendment) Regulations 2014.

⁵³ The Independent Educational Provision in England (Prohibition on Participation in Management) Regulations 2014.

How to check for prohibitions, directions, sanctions and restrictions - Teacher Services checking system

130. Checks for all prohibitions, sanctions and restrictions described at paragraphs 122-129 can be carried out by logging onto the Secure Access/DfE Sign-in Portal via the [Teacher Services' web page](#). Secure Access/DfE Sign-in is a free service available to all schools and colleges. Registration is required for first time users and can be requested from Teacher Services. Further information about using this system to carry out a range of 'teacher status checks'⁵⁴ including verification of qualified teacher status (QTS) and the completion of teacher induction or teacher probation can be found at [GOV.UK](#).

131. A section 128 direction will also be disclosed where an enhanced DBS check with barred list information is requested, provided that 'children's workforce independent schools' is specified in the parameters for the barred list check.

Childcare disqualification

132. For staff who work in childcare provision or who are directly concerned with the management of such provision, schools need to ensure that appropriate checks are carried out to ensure that individuals are not disqualified under the [2018 Childcare Disqualification Regulations](#). Further information on the staff to whom these Regulations apply, the checks that should be carried out, and the recording of those checks can be found in [Disqualification under the Childcare Act 2006](#) statutory guidance.

⁵⁴ The Teacher Services' system can also be used to check for the award of qualified teacher status (QTS) and the completion of teacher induction or probation.

Pre-appointment checks

All new appointments

133. Any offer of appointment made to a successful candidate, including one who has lived or worked abroad, must be conditional on satisfactory completion of the necessary pre-employment checks.

134. When appointing new staff, schools and colleges must (subject to paragraph 136):

- verify a candidate's identity. Identification checking guidelines can be found on the [GOV.UK](https://www.gov.uk) website;
- obtain (via the applicant) an enhanced DBS certificate (including barred list information, for those who will be engaging in regulated activity);^{55 56 57}
- obtain a separate barred list check if an individual will start work in regulated activity before the DBS certificate is available;
- verify the candidate's mental and physical fitness to carry out their work responsibilities.⁵⁸ A job applicant can be asked relevant questions about disability and health in order to establish whether they have the physical and mental capacity for the specific role;⁵⁹
- verify the person's right to work in the UK. If there is uncertainty about whether an individual needs permission to work in the UK, then prospective employers, or volunteer managers, should follow advice on the [GOV.UK](https://www.gov.uk) website;
- if the person has lived or worked outside the UK, make any further checks the

⁵⁵ Where the individual will be or is engaging in regulated activity, schools and colleges will need to ensure that they confirm on the DBS application that they have the right to barred list information.

⁵⁶ Regulations 12 and 24 of the School Staffing (England) Regulations 2009 for maintained schools also apply to the management committee of pupil referral units through the Education (Pupil Referral Units) (Application of Enactments) (England) Regulations 2007. Part 4 of the Schedule to The Education (Independent School Standards) (England) Regulations 2014 applies to independent schools, including free schools and academies. The Schedule to the Non-Maintained Special Schools (England) Regulations 2015 applies to non-maintained special schools.

⁵⁷ Regulation 5 of the Further Education (Providers of Education) (England) Regulations 2006 set out requirements in respect of checks on staff providing education at colleges. For staff members who are providing education and regularly caring for, training, supervising or being solely in charge of persons aged under 18, which would fall within the definition of regulated activity, colleges are required to obtain an enhanced DBS check including a barred list check by virtue of regulations 5(4) and 5(5). Regulation 10 requires that staff moving from a position that does not involve the provision of education into a position involving the provision of education are to be treated as new staff members and, as such, all appropriate checks for the role must be carried out.

⁵⁸ Education (Health Standards) (England) Regulations 2003.

⁵⁹ Section 60 of the Equality Act 2010.

school or college consider appropriate (see paragraph 150); and

- verify professional qualifications, as appropriate. The Teacher Services' system should be used to verify any award of qualified teacher status (QTS), and the completion of teacher induction or probation.

In addition:

- schools must ensure that a candidate to be employed to carry out teaching work⁶⁰ is not subject to a prohibition order issued by the Secretary of State (see footnote 50 for college requirements), or any sanction or restriction imposed (that remains current) by the GTCE before its abolition in March 2012;⁶¹ and
- independent schools, including academies and free schools, must check⁶² that a person taking up a management position as described at paragraph 125 is not subject to a section 128 direction made by the Secretary of State.

135. Where an enhanced DBS certificate is required, it must be obtained from the candidate before, or as soon as practicable after, the person's appointment.

136. There is no requirement for a school to obtain an enhanced DBS certificate or carry out checks for events that may have occurred outside the UK if, during a period which ended not more than three months before the person's appointment, the applicant has worked:

- In a school in England in a post:
 - which brought the person regularly into contact with children or young persons; or
 - to which the person was appointed on or after 12th May 2006 and which did not bring the person regularly into contact with children or young persons; or
- in an institution within the further education sector in England, or in a 16-19 Academy, in a post which involved the provision of education which brought the person regularly into contact with children or young persons.

For a college there is no requirement to obtain an enhanced DBS certificate or carry out checks for events that may have occurred outside the UK if, during a period which ended

⁶⁰ The Teachers' Disciplinary (England) Regulations 2012 define teaching work as: planning and preparing lessons and courses for pupils; delivering lessons to pupils; assessing the development, progress and attainment of pupils; and reporting on the development, progress and attainment of pupils.

⁶¹ See paragraph 130 for how to carry out this check.

⁶² See paragraph 130 for how to carry out this check.

not more than three months before the person's appointment, the applicant has worked in:

- a school in England in a position which brought him regularly into contact with persons aged under 18; or
- another institution within the further education sector in England, or in a 16 to 19 Academy, in a position which involved the provision of education and caring for, training, supervising or being solely in charge of persons aged under 18.

All other pre-appointment checks must still be completed, including where the individual is engaging in regulated activity, a barred list check. Schools or colleges may also choose to request an enhanced DBS certificate.

137. The DBS cannot provide barred list information on any person, including volunteers, who are not in or seeking to enter in regulated activity.

DBS Update Service

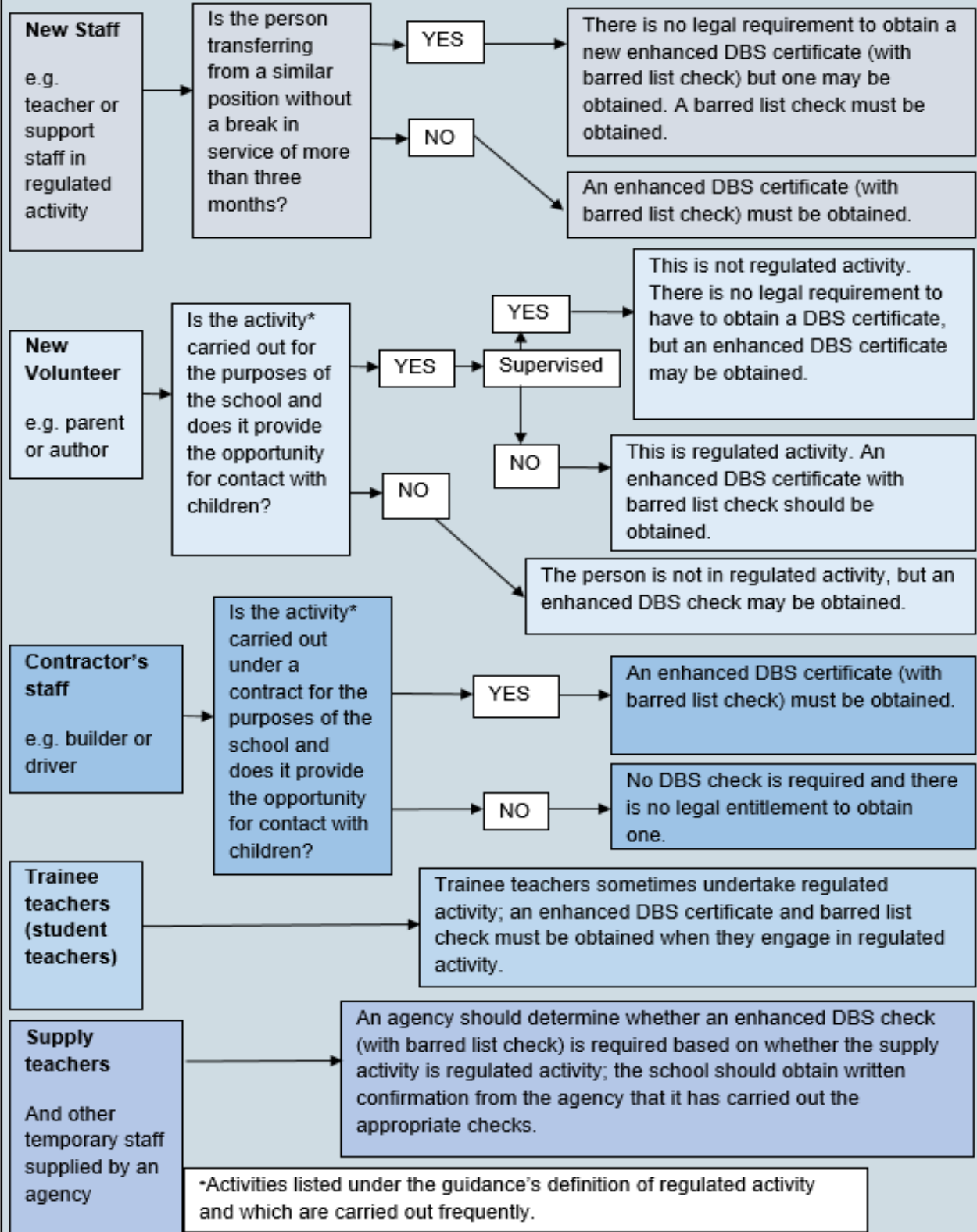
138. Individuals can join the DBS Update Service⁶³ at the point an application for a new DBS check is made, enabling future status checks to be carried out to confirm that no new information has been added to the certificate since its issue. This allows for portability of a certificate across employers. Before using the Update Service, schools or colleges must:

- obtain consent from the applicant to do so;
- confirm the certificate matches the individual's identity; and
- examine the original certificate to ensure that it is for the appropriate workforce and level of check, e.g. enhanced certificate/enhanced including barred list information.

The school or college can subsequently carry out a free online check. This would identify whether there has been any change to the information recorded, since the initial certificate was issued and advise whether the individual should apply for a new certificate. Individuals will be able to see a full list of those organisations that have carried out a status check on their account. Further information about the update service, including when updated information can be used, can be found at [GOV.UK](https://www.gov.uk).

⁶³ There is an annual fee for applicants using the update service.

FLOWCHART OF DISCLOSURE AND BARRING SERVICE CRIMINAL RECORD CHECKS AND BARRED LIST CHECKS



Employment history and references

139. Employers should always ask for written information about previous employment history and check that information is not contradictory or incomplete. The purpose of seeking references is to allow the school or college to obtain objective and factual information to support appointment decisions. References should always be obtained from the candidate's current employer. Where a candidate is not currently employed, verification of their most recent period of employment and reasons for leaving should be obtained from the school, college, local authority or organisation at which they were employed.

140. References should be scrutinised and any concerns resolved satisfactorily, before the appointment is confirmed, including for any internal candidate. Obtaining references before interview, would allow any concerns they raise to be explored further with the referee and taken up with the candidate at interview. They should always be requested directly from the referee and preferably from a senior person with appropriate authority, not just a colleague. Employers should not rely on open references, for example in the form of 'to whom it may concern' testimonials, nor should they only rely on information provided by the candidate as part of the application process without verifying that the information is correct. Where electronic references are received, employers should ensure they originate from a legitimate source.

141. On receipt, references should be checked to ensure that all specific questions have been answered satisfactorily. The referee should be contacted to provide further clarification as appropriate, for example if the answers are vague or if insufficient information is provided. They should also be compared for consistency with the information provided by the candidate on their application form. Any discrepancies should be taken up with the candidate.

142. Any information about past disciplinary action or allegations that are disclosed should be considered carefully when assessing the applicant's suitability for the post (including information obtained from the Teacher Services' checks referred to previously). Further help and advice can be found on the [Advisory, Conciliation and Arbitration Service \(ACAS\) website](#).

Single central record

143. Schools and colleges must maintain a single central record of pre-appointment checks, referred to in the Regulations (listed in paragraph 148) as the register and more commonly known as the single central record. For requirements for schools in Multi-academy trusts (MATs), see paragraph 147. The single central record must cover the following people:

- all staff, including teacher trainees on salaried routes (see paragraph 154), agency and third party supply staff (see paragraph 152) who work at the school. In colleges, this means those providing education to children; and
- for independent schools, all members of the proprietor body. In the case of academies and free schools, this means the members and trustees of the academy trust.

144. The bullet points below set out the minimum information that must be recorded in respect of staff members (including teacher trainees on salaried routes). The single central record must indicate whether the following checks have been carried out or certificates obtained, and the date on which each check was completed/certificate obtained:

- an identity check. Identification checking guidelines can be found on the [GOV.UK](https://www.gov.uk) website;
- a barred list check;
- an enhanced DBS check/certificate;
- a prohibition from teaching check;⁶⁴
- further checks on people who have lived or worked outside the UK (see paragraphs 150-151); this would include recording checks for those European Economic Area (EEA) teacher sanctions and restrictions described in paragraph 129;
- a check of professional qualifications, where required; and
- a check to establish the person's right to work in the United Kingdom.

In addition:

- colleges must record whether the person's position involves 'relevant activity', i.e. regularly caring for, training, supervising or being solely in charge of persons aged under 18; and
- a section 128 check (for management positions as set out in paragraph 124-125 for independent schools (including academies and free schools)).

145. For agency and third party supply staff, schools and colleges must also include whether written confirmation has been received that the employment business supplying the member of supply staff has carried out the relevant checks and obtained the appropriate certificates, and the date that confirmation was received and whether any

⁶⁴ There is no requirement for colleges to record this information, however, as part of the funding agreement colleges must have robust record keeping procedures in place.

enhanced DBS certificate check has been provided in respect of the member of staff.⁶⁵

146. Whilst there is no statutory duty to include on the single central record details of any other checks, schools and colleges are free to record any other information they deem relevant. For example, checks for childcare disqualification, volunteers, and safeguarding and safer recruitment training dates. Schools and colleges may also wish to record the name of the person who carried out each check.

The single central record can be kept in paper or electronic form.

147. MATs must maintain the single central record detailing checks carried out in each academy within the MAT. Whilst there is no requirement for the MAT to maintain an individual record for each academy, the information should be recorded in such a way that allows for details for each individual academy to be provided separately, and without delay, to those entitled to inspect that information, including by inspectors described at paragraph 88.

148. Details of the records that must be kept are set out in the following Regulations:

- for maintained schools - Regulations 12(7) and 24(7) and [Schedule 2 to the School Staffing \(England\) Regulations 2009](#) and the School Staffing (England) (Amendment) Regulations 2013 (applied to pupil referral units through the Education (Pupil Referral Units) (Application of Enactments) (England) Regulations 2007);
- for independent schools - (including academies and free schools and alternative provision academies and free schools): [Part 4 of the Schedule to the Education \(Independent School Standards\) Regulations 2014](#);
- for colleges - Regulations 20-25 and the Schedule to the [Further Education \(Providers of Education\) \(England\) Regulations 2006](#),⁶⁶ and
- for non-maintained special schools - Regulation 3 and paragraph 7 of Part 1 and paragraph 18 of [Part 2 of the Schedule to the Non-Maintained Special Schools \(England\) Regulations 2015](#).

149. Schools and colleges do not have to keep copies of DBS certificates in order to fulfil the duty of maintaining the single central record. To help schools and colleges comply with the requirements of the Data Protection Act 2018, when a school or college chooses to retain a copy, it should not be retained for longer than six months. A copy of the other documents used to verify the successful candidate's identity, right to work and required qualifications should be kept for the personnel file. Further information on

⁶⁵ Independent schools and non-maintained special schools should also include the date on which any certificate was obtained.

⁶⁶ 16-19 academies and free schools are covered through their funding agreements.

handling DBS certificate information can be found on [GOV.UK](https://www.gov.uk).

Individuals who have lived or worked outside the UK

150. Individuals who have lived or worked outside the UK must undergo the same checks as all other staff in schools or colleges. In addition, schools and colleges must make any further checks they think appropriate so that any relevant events that occurred outside the UK can be considered. The Home Office guidance on [criminal records checks for overseas applicants](#) can be found on [GOV.UK](https://www.gov.uk). These further checks should include a check for information about any teacher sanction or restriction that an EEA professional regulating authority has imposed, using the TRA [Teacher Services](#) system. See paragraph 130 for further information on using this service. Although restrictions imposed by another EEA regulating authority do not prevent a person from taking up teaching positions in England, schools and colleges should consider the circumstances that led to the restriction or sanction being imposed when considering a candidate's suitability for employment.

151. The department has issued [guidance on the employment of overseas - trained teachers](#). This gives information on the requirements for overseas-trained teachers from the EEA to teach in England, and the award of qualified teacher status for teachers qualified in Australia, Canada, New Zealand and the United States of America.

Agency and third-party staff (supply staff)

152. Schools and colleges must obtain written notification from any agency, or third-party organisation they use that the organisation has carried out the checks (in respect of the enhanced DBS certificate, written notification that confirms the certificate has been obtained by either the employment business or another such business), on an individual who will be working at the school or college that the school or college would otherwise perform.⁶⁷

153. Where the position requires a barred list check, this must be obtained by the agency or third party prior to appointing the individual. The school or college must also check that the person presenting themselves for work is the same person on whom the checks have been made.

⁶⁷ Colleges must comply with regulations 11 to 19 of The Further Education (Providers of Education) (England) Regulations 2006 in respect of agency workers; maintained schools must comply with regulations 18 and 30 of the School Staffing (England) Regulations 2009; non-maintained special schools must comply with paragraphs 5 and 16 of the Schedule to The Non-Maintained Special Schools (England) Regulations 2015; and independent schools (including academies and free schools) must comply with paragraph 19 of the Schedule to The Education (Independent School Standards) Regulation 2014.

Trainee/student teachers

154. Where applicants for initial teacher training are salaried by the school or college, the school or college must ensure that all necessary checks are carried out. As trainee teachers are likely to be engaging in regulated activity, an enhanced DBS certificate (including barred list information) must be obtained.

155. Where trainee teachers are fee-funded, it is the responsibility of the initial teacher training provider to carry out the necessary checks. Schools and colleges should obtain written confirmation from the provider that it has carried out all pre-appointment checks that the school or college would otherwise be required to perform, and that the trainee has been judged by the provider to be suitable to work with children.⁶⁸ There is no requirement for the school to record details of fee-funded trainees on the single central record.

Existing staff

156. If a school or college has concerns about an existing staff member's suitability to work with children, the school or college should carry out all relevant checks as if the person were a new member of staff. Similarly, if a person working at the school or college moves from a post that was not regulated activity into work which is considered to be regulated activity, the relevant checks for that regulated activity must be carried out.⁶⁹ For colleges, an individual moving from a position that did not involve the provision of education to one that does must be treated as if that individual were a new member of staff and all required pre-appointment checks must be carried out (see paragraph 134). Apart from these circumstances, the school or college is not required to request a DBS check or barred list check.

157. **Schools and colleges have a legal duty to refer to the DBS anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult where:**

- **the harm test is satisfied in respect of that individual;**
- **the individual has received a caution or conviction for a relevant offence, or if there is reason to believe that the individual has committed a listed relevant offence; and**

⁶⁸ Teaching Regulation Agency (TRA) - [Initial teacher training provider supporting advice and initial teacher training criteria](#).

⁶⁹ Schools and colleges will wish to consider the offence of allowing individuals to engage in regulated activity whilst barred. It is intended that, at a date to be announced, any regulated activity provider will have a duty to request a barred list check before allowing any individuals to engage in regulated activity (section 34ZA Safeguarding Vulnerable Groups Act 2006) and for it to be possible to obtain such a check independently from the enhanced check from the DBS.

- **the individual has been removed from working (paid or unpaid) in regulated activity, or would have been removed had they not left.**⁷⁰

158. The DBS will consider whether to bar the person. Detailed guidance on when to refer to the DBS, and what information must be provided, can be found on [GOV.UK](https://www.gov.uk).

159. Referrals should be made as soon as possible, and ordinarily on conclusion of an investigation, when an individual is removed from working in regulated activity, which could include being suspended, or is redeployed to work that is not regulated activity (see paragraphs 234-235 for referral in dismissal or resignation situations).

160. Where a teacher's employer, including an agency, dismisses or ceases to use the services of a teacher because of serious misconduct, or might have dismissed them or ceased to use their services had they not left first, they must consider whether to refer the case to the Secretary of State, as required by sections 141D and 141E of the Education Act 2002. The Secretary of State may investigate the case, and if s/he finds there is a case to answer, must then decide whether to make a prohibition order in respect of the person see paragraphs 122-123.⁷¹ How to refer can be found on [GOV.UK](https://www.gov.uk).

Volunteers

161. Under no circumstances should a volunteer in respect of whom no checks have been obtained be left unsupervised or allowed to work in regulated activity.

162. Volunteers who, on an unsupervised basis teach or look after children regularly, or provide personal care on a one-off basis in schools and colleges, will be in regulated activity. The school or college should obtain an enhanced DBS certificate (which should include barred list information) for all volunteers who are new to working in regulated activity. Existing volunteers in regulated activity do not have to be re-checked if they have already had a DBS check (which includes barred list information). However, schools and colleges may conduct a repeat DBS check (which should include barred list information) on any such volunteer should they have concerns.

163. There are certain circumstances where schools and colleges may obtain an enhanced DBS certificate (not including barred list information), for volunteers who are not engaging in regulated activity. This is set out in DBS workforce guides, which can be found on [GOV.UK](https://www.gov.uk). Employers are not legally permitted to request barred list information on a supervised volunteer as they are not considered to be engaged in regulated activity.

164. The school or college should undertake a risk assessment and use their professional judgement and experience when deciding whether to obtain an enhanced DBS certificate for any volunteer not engaging in regulated activity. In doing so they

⁷⁰ The list of offences is set out in the Safeguarding Vulnerable Groups Act 2006 (Prescribed Criteria and Miscellaneous Provisions) Regulations 2009 (SI 2009 No. 37) (amended).

⁷¹ Sections 141D and 141E of the Education Act 2002 do not apply to colleges (other than sixth form colleges).

should consider:

- the nature of the work with children;
- what the establishment knows about the volunteer, including formal or informal information offered by staff, parents and other volunteers;
- whether the volunteer has other employment or undertakes voluntary activities where referees can advise on suitability;
- whether the role is eligible for an enhanced DBS check; and

Details of the risk assessment should be recorded.⁷²

165. It is for schools and colleges to determine whether a volunteer is considered to be supervised. In making this decision, and where an individual is supervised, to help determine the appropriate level of supervision schools must have regard to the statutory guidance issued by the Secretary of State (replicated at Annex F). This guidance requires that, for a person to be considered supervised, the supervision must be:

- by a person who is in regulated activity;⁷³
- regular and day to day; and
- “reasonable in all the circumstances to ensure the protection of children.”

166. The DBS cannot provide barred list information on any person, including volunteers, who are not in, or seeking to engage in regulated activity.

Maintained school governors

167. Governors in maintained schools are required to have an enhanced criminal records certificate from the DBS.⁷⁴ It is the responsibility of the governing body to apply for the certificate for any of their governors who do not already have one. Governance is not a regulated activity and so governors do not need a barred list check unless, in addition to their governance duties, they also engage in regulated activity.

Sixth form college governors

168. Governing bodies in sixth form colleges can request an enhanced DBS certificate without a barred list check on an individual as part of the appointment process for governors. An enhanced DBS certificate (which will include a barred list check) should only be requested if the governor will be engaging in regulated activity. This applies

⁷² Schools and colleges are free to determine where to store this information.

⁷³ It should be noted that if the work is in a specified place such as a school, paid workers remain in regulated activity even if supervised.

⁷⁴ The School Governance (Constitution and Federations) (England) (Amendment) Regulations 2016.

equally to volunteer governors who will be engaging in regulated activity and should be treated on the same basis as other volunteers in this respect.

Proprietors of independent schools, including academies and free schools and proprietors of alternative provision academies⁷⁵

169. Before an individual becomes either the proprietor of an independent school or the chair of a body of people which is the proprietor of an independent school, the Secretary of State will: ^{76 77}

- carry out an enhanced DBS check; and where such a check is made, obtain an enhanced DBS certificate (either including or not including barred list information as appropriate);⁷⁸
- confirm the individual's identity; and
- if the individual lives or has lived outside of the UK, where making an enhanced check is insufficient, such other checks as the Secretary of State considers appropriate.

The Secretary of State also undertakes these checks in respect of the chair of governing bodies of non-maintained special schools.⁷⁹

170. The requirement for an enhanced DBS check and certificate is disapplied for the chair of an academy trust if the academy is converting from a maintained school and the person has already been subject to a check carried out by the local authority.⁸⁰

171. Where the proprietor is a body of people (including a governing body in an academy or free school), the chair must ensure that enhanced DBS checks are undertaken, for the other members of the body and that where such a check has been undertaken, an enhanced DBS certificate is obtained, and that identity checks are completed before, or as soon as practicable after, any individual takes up their position. The chair must also ensure that other members are not subject to a section 128 direction that would prevent them from taking part in the management of an independent school (including academies and free schools). Further checks, as the chair considers appropriate, should be undertaken where, by reason of the individual's living or having lived overseas, obtaining an enhanced DBS certificate is not sufficient to establish his or

⁷⁵ The proprietor of an academy or free school or alternate provision academy or free school is the academy trust.

⁷⁶ Paragraph 20 of the Schedule to the Education (Independent School Standards) Regulations 2014.

⁷⁷ This will include an academy trust of any academy or free school, other than for 16 – 19 academies or free schools.

⁷⁸ Regulation 2(5) of the Education (Independent School Standards) Regulations 2014 sets out when such checks are considered relevant.

⁷⁹ Paragraphs 6 and 17 of the Schedule to The Non-Maintained Special Schools (England) Regulations 2015.

⁸⁰ Paragraph 20(7) of the Schedule to the Education (Independent School Standards) Regulations 2014.

her suitability to work in a school.

172. In the case of an academy trust, including those established to operate a free school, the trust must require enhanced DBS checks on all members of the academy trust, individual charity trustees, and the chair of the board of charity trustees.⁸¹ Academy trusts, including those established to run a free school, have the same responsibilities as all independent schools in relation to requesting enhanced DBS certificates for permanent and supply staff.⁸² Where an academy trust delegates responsibilities to any delegate or committee (including a local governing body), the trust must require DBS checks on all delegates and all member of such committees.⁸³ Academy trusts must also check that members are not barred from taking part in the management of the school as a result of a section 128 direction (see paragraph 124).

Contractors

173. Schools and colleges should ensure that any contractor, or any employee of the contractor, who is to work at the school or college, has been subject to the appropriate level of DBS check. Contractors engaging in regulated activity will require an enhanced DBS certificate (including barred list information). For all other contractors who are not engaging in regulated activity, but whose work provides them with an opportunity for regular contact with children, an enhanced DBS check (not including barred list information) will be required.⁸⁴ In considering whether the contact is regular, it is irrelevant whether the contractor works on a single site or across a number of sites.

174. Under no circumstances should a contractor in respect of whom no checks have been obtained be allowed to work unsupervised, or engage in regulated activity. Schools and colleges are responsible for determining the appropriate level of supervision depending on the circumstances.

175. If an individual working at a school or college is self-employed, the school or college should consider obtaining the DBS check, as self-employed people are not able to make an application directly to the DBS on their own account.

176. Schools and colleges should always check the identity of contractors and their staff on arrival at the school or college.

⁸¹ As required in the funding agreement.

⁸² The Education (Independent School Standards) Regulations 2014. The regulations do not apply to 16-19 free schools and academies.

⁸³ As required in an academy trust's articles of association.

⁸⁴ It will only be possible to obtain an enhanced DBS certificate for contractors in colleges which are exclusively or mainly for the provision of full-time education to children.

Visitors

177. Schools and colleges do not have the power to request DBS checks and barred list checks, or ask to see DBS certificates, for visitors (for example children's relatives or other visitors attending a sports day). Headteachers and principals should use their professional judgment about the need to escort or supervise visitors.

Alternative Provision

178. Where a school places a pupil with an alternative provision provider, the school continues to be responsible for the safeguarding of that pupil, and should be satisfied that the provider meets the needs of the pupil. Schools should obtain written confirmation from the alternative provider that appropriate safeguarding checks have been carried out on individuals working at the establishment, i.e. those checks that the school would otherwise perform in respect of its own staff.

Adults who supervise children on work experience

179. Schools and colleges organising work experience placements should ensure that the placement provider has policies and procedures are in place to protect children from harm.⁸⁵

180. Barred list checks by the DBS might be required on some people who supervise a child under the age of 16 on a work experience placement.⁸⁶ The school or college should consider the specific circumstances of the work experience. Consideration must be given in particular to the nature of the supervision and the frequency of the activity being supervised, to determine what, if any, checks are necessary. These considerations would include whether the person providing the teaching/training/instruction/supervision to the child on work experience will be:

- unsupervised themselves; and
- providing the teaching/training/instruction frequently (more than three days in a 30 day period, or overnight).

181. If the person working with the child is unsupervised and the same person is in frequent contact with the child, the work is likely to be regulated activity. If so, the school or college could ask the employer providing the work experience to ensure that the person providing the instruction or training is not a barred person.

⁸⁵ [Guidance on work experience.](#)

⁸⁶ Safeguarding Vulnerable Groups Act 2006, as amended by the Protection of Freedoms Act 2012, which came into force on 10 September 2012.

182. Schools and colleges are not able to request an enhanced DBS check with barred list information for staff supervising children aged 16 to 17 on work experience.⁸⁷

183. If the activity undertaken by the child on work experience takes place in a 'specified place', such as a school or college, and gives the opportunity for contact with children, this may itself be considered to be regulated activity. In these cases and where the child is 16 years of age or over, the work experience provider should consider whether a DBS enhanced check should be requested for the child/young person in question. DBS checks cannot be requested for children/young people under the age of 16.⁸⁸

Children staying with host families (homestay)

184. Schools and colleges quite often make arrangements for their children to have learning experiences where, for short periods, the children may be provided with care and accommodation by a host family to whom they are not related. This might happen, for example, as part of a foreign exchange visit or sports tour, often described as 'homestay' arrangements (see Annex E for further details). In some circumstances the arrangement where children stay with UK families could amount to "private fostering" under the Children Act 1989 see paragraphs 185-186 for further information about action that should be taken to alert the local authority in those circumstances.

Private fostering- LA notification when identified

185. Private fostering⁸⁹ occurs when a child under the age of 16 (under 18, if disabled) is provided with care and accommodation by a person who is not a parent, person with parental responsibility for them or a relative in their own home. A child is not privately fostered if the person caring for and accommodating them has done so for less than 28 days and does not intend to do so for longer. Such arrangements may come to the attention of school staff through the normal course of their interaction, and promotion of learning activities, with children.

186. The school or college should then notify the local authority to allow the local authority to check the arrangement is suitable and safe for the child.

187. A link to comprehensive guidance on private fostering can be found at Annex A of this guidance.

⁸⁷ The Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 was amended by the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendment) (England and Wales) Order 2012 so that employers may no longer request checks in these circumstances.

⁸⁸ Under the Police Act 1997, an individual must be 16 or over to be able to make an application for a DBS check.

⁸⁹ Part 9 of the Children Act 1989.

Part four: Allegations of abuse made against teachers and other staff

Duties as an employer and an employee

188. This part of the guidance is about managing cases of allegations that might indicate a person would pose a risk of harm⁹⁰ if they continue to work in regular or close contact with children in their present position, or in any capacity. It should be used in respect of all cases in which it is alleged that a teacher or member of staff (including volunteers) in a school or college that provides education for children under 18 years of age has:

- behaved in a way that has harmed a child, or may have harmed a child;
- possibly committed a criminal offence against or related to a child; or
- behaved towards a child or children in a way that indicates he or she may pose a risk of harm to children.

189. This part of the guidance relates to members of staff and volunteers who are currently working in any school or college regardless of whether the school or college is where the alleged abuse took place. Allegations against a teacher who is no longer teaching should be referred to the police. Historical allegations of abuse should also be referred to the police.

190. Employers have a duty of care to their employees. They should ensure they provide effective support for anyone facing an allegation and provide the employee with a named contact if they are suspended. It is essential that any allegation of abuse made against a teacher or other member of staff or volunteer in a school or college is dealt with very quickly, in a fair and consistent way that provides effective protection for the child and, at the same time supports the person who is the subject of the allegation.

Initial considerations

191. The procedures for dealing with allegations need to be applied with common sense and judgement. Many cases may well either not meet the criteria set out above, or may do so without warranting consideration of either a police investigation or enquiries by local authority children's social care services. In these cases, local arrangements should be followed to resolve cases without delay.

192. Some rare allegations will be so serious they require immediate intervention by

⁹⁰ The harm test is explained on the Disclosure and Barring service website on [GOV.UK](https://www.gov.uk).

children's social care services and/or police. The designated officer(s) should be informed of all allegations that come to a school's or college's attention and appear to meet the criteria so they can consult police and children's social care services as appropriate.

193. The following definitions should be used when determining the outcome of allegation investigations:

- **Substantiated:** there is sufficient evidence to prove the allegation;
- **Malicious:** there is sufficient evidence to disprove the allegation and there has been a deliberate act to deceive;
- **False:** there is sufficient evidence to disprove the allegation;
- **Unsubstantiated:** there is insufficient evidence to either prove or disprove the allegation. The term, therefore, does not imply guilt or innocence;
- **Unfounded:** to reflect cases where there is no evidence or proper basis which supports the allegation being made.

194. The headteacher or principal or (where the headteacher or principal is the subject of an allegation) the chair of governors, or the chair of the management committee or proprietor of an independent school (the 'case manager'), should discuss the allegation immediately with the designated officer(s). The purpose of an initial discussion is for the designated officer(s) and the case manager to consider the nature, content and context of the allegation and agree a course of action. The designated officer(s) may ask the case manager to provide or obtain relevant additional information, such as previous history, whether the child or their family have made similar allegations previously and about the individual's current contact with children. There may be situations when the case manager will want to involve the police immediately, for example if the person is deemed to be an immediate risk to children or there is evidence of a possible criminal offence. Where there is no such evidence, the case manager should discuss the allegations with the designated officer(s) in order to help determine whether police involvement is necessary.

195. The initial sharing of information and evaluation may lead to a decision that no further action is to be taken in regard to the individual facing the allegation or concern, in which case this decision and a justification for it should be recorded by both the case manager and the designated officer(s), and agreement reached on what information should be put in writing to the individual concerned and by whom. The case manager should then consider with the designated officer(s) what action should follow both in respect of the individual and those who made the initial allegation.

196. The case manager should inform the accused person about the allegation as soon as possible after consulting the designated officer(s). It is extremely important that the case manager provides them with as much information as possible at that time.

However, where a strategy discussion⁹¹ is needed, or police or children's social care services need to be involved, the case manager should not do that until those agencies have been consulted, and have agreed what information can be disclosed to the accused. Employers must consider carefully whether the circumstances of a case warrant a person being suspended from contact with children at the school or college or whether alternative arrangements can be put in place until the allegation or concern is resolved. All options to avoid suspension should be considered prior to taking that step (see paragraphs 223-229 for information about suspension).

197. If there is cause to suspect a child is suffering or is likely to suffer significant harm, a strategy discussion should be convened in accordance with the statutory guidance [Working Together to Safeguard Children](#). If the allegation is about physical contact, the strategy discussion or initial evaluation with the police should take into account that teachers and other school and college staff are entitled to use reasonable force to control or restrain children in certain circumstances, including dealing with disruptive behaviour.

198. Where it is clear that an investigation by the police or children's social care services is unnecessary, or the strategy discussion or initial evaluation decides that is the case, the designated officer(s) should discuss the next steps with the case manager. In those circumstances, the options open to the school or college depend on the nature and circumstances of the allegation and the evidence and information available. This will range from taking no further action to dismissal or a decision not to use the person's services in future. Suspension should not be the default position: an individual should be suspended only if there is no reasonable alternative.

199. In some cases, further enquiries will be needed to enable a decision about how to proceed. If so, the designated officer(s) should discuss with the case manager how and by whom the investigation will be undertaken. In straightforward cases, the investigation should normally be undertaken by a senior member of the school's or college's staff.

200. However, in other circumstances, such as lack of appropriate resource within the school or college, or the nature or complexity of the allegation, the allegation will require an independent investigator. Many local authorities already provide for an independent investigation of allegations, often as part of the personnel services that maintained schools and colleges can buy in from the authority. It is important that local authorities ensure that schools and colleges have access to an affordable facility for independent investigation where that is appropriate.

⁹¹ The purpose of a strategy discussion and those likely to be involved is described in [Working Together to Safeguard Children](#).

Supporting those involved

201. Employers have a duty of care to their employees. They should act to manage and minimise the stress inherent in the allegations process. Support for the individual is vital to fulfilling this duty. Individuals should be informed of concerns or allegations as soon as possible and given an explanation of the likely course of action, unless there is an objection by the children's social care services or the police. The individual should be advised to contact their trade union representative, if they have one, or a colleague for support. They should also be given access to welfare counselling or medical advice where this is provided by the employer.

202. The case manager should appoint a named representative to keep the person who is the subject of the allegation informed of the progress of the case and consider what other support is appropriate for the individual. For staff in maintained schools and colleges, that may include support via the local authority occupational health or employee welfare arrangements. Particular care needs to be taken when employees are suspended to ensure that they are kept informed of both the progress of their case and current work-related issues. Social contact with colleagues and friends should not be prevented unless there is evidence to suggest that such contact is likely to be prejudicial to the gathering and presentation of evidence.

203. Parents or carers of the child or children involved should be told about the allegation as soon as possible if they do not already know of it. However, where a strategy discussion is required, or police or children's social care services need to be involved, the case manager should not do so until those agencies have been consulted and have agreed what information can be disclosed to the parents or carers. Parents or carers should also be kept informed about the progress of the case, and told the outcome where there is not a criminal prosecution, including the outcome of any disciplinary process. The deliberations of a disciplinary hearing, and the information taken into account in reaching a decision, cannot normally be disclosed but the parents or carers of the child should be told the outcome in confidence.⁹²

204. Parents and carers should also be made aware of the requirement to maintain confidentiality about any allegations made against teachers whilst investigations are ongoing as set out in section 141F of the Education Act 2002 (see paragraphs 206-207). If parents or carers wish to apply to the court to have reporting restrictions removed, they should be told to seek legal advice.

205. In cases where a child may have suffered significant harm, or there may be a criminal prosecution, children's social care services, or the police as appropriate, should

⁹² In deciding what information to disclose, careful consideration should be given to the provisions of the Data Protection Act 2018, the law of confidence and, where relevant, the Human Rights Act 1998.

consider what support the child or children involved may need.

Confidentiality

206. It is extremely important that when an allegation is made, the school or college make every effort to maintain confidentiality and guard against unwanted publicity while an allegation is being investigated or considered. The Education Act 2002 introduced reporting restrictions preventing the publication of any material that may lead to the identification of a teacher in a school who has been accused by, or on behalf of, a pupil from the same school (where that identification would identify the teacher as the subject of the allegation). The reporting restrictions apply until the point that the accused person is charged with an offence, or until the Secretary of State⁹³ or the General Teaching Council for Wales publishes information about an investigation or decision in a disciplinary case arising from the allegation. The reporting restrictions are disapplied if the individual to whom the restrictions apply effectively waives their right to anonymity by going public themselves or by giving their written consent for another to do so or if a judge lifts restrictions in response to a request to do so. The provisions commenced on 1 October 2012.

207. The legislation imposing restrictions makes clear that “publication” of material that may lead to the identification of the teacher who is the subject of the allegation is prohibited. “Publication” includes “any speech, writing, relevant programme or other communication in whatever form, which is addressed to the public at large or any section of the public.” This means that a parent who, for example, published details of the allegation on a social networking site would be in breach of the reporting restrictions (if what was published could lead to the identification of the teacher by members of the public).

208. In accordance with the [Authorised Professional Practice](#) published by the College of Policing in May 2017, the police will not normally provide any information to the press or media that might identify an individual who is under investigation, unless and until the person is charged with a criminal offence. (In exceptional cases where the police would like to depart from that rule, for example an appeal to trace a suspect, they must apply to a magistrates’ court to request that reporting restrictions be lifted.)

209. The case manager should take advice from the designated officer(s), police and children’s social care services to agree the following:

- who needs to know and, importantly, exactly what information can be shared;
- how to manage speculation, leaks and gossip;

⁹³ Carried out by the Teaching Regulation Agency.

- what, if any, information can be reasonably given to the wider community to reduce speculation; and
- how to manage press interest if, and when, it should arise.

Managing the situation and exit arrangements

Resignations and ‘settlement agreements’

210. If the accused person resigns, or ceases to provide their services, this should not prevent an allegation being followed up in accordance with this guidance. **A referral to the DBS *must* be made, if the criteria are met - see paragraphs 157-158.** Schools and sixth form colleges must also consider whether a referral to the Secretary of State is appropriate - see paragraph 160. If the accused person resigns or their services cease to be used and the criteria are met, it will not be appropriate to reach a settlement/compromise agreement. Any settlement/compromise agreement that would prevent a school or college from making a DBS referral even though the criteria for referral are met, is likely to result in a criminal offence being committed. This is because the school or college would not be complying with its legal duty to make the referral.

211. It is important that every effort is made to reach a conclusion in all cases of allegations bearing on the safety or welfare of children, including any in which the person concerned refuses to cooperate with the process. Wherever possible, the accused should be given a full opportunity to answer the allegation and make representations about it. But the process of recording the allegation and any supporting evidence, and reaching a judgement about whether it can be substantiated on the basis of all the information available, should continue even if that cannot be done or the accused does not cooperate. It may be difficult to reach a conclusion in those circumstances, and it may not be possible to apply any disciplinary sanctions if a person’s period of notice expires before the process is complete, but it is important to reach and record a conclusion wherever possible.

212. ‘Settlement agreements’ (sometimes referred to as compromise agreements), by which a person agrees to resign if the employer agrees not to pursue disciplinary action, and both parties agree a form of words to be used in any future reference, should not be used in cases of refusal to cooperate or resignation before the person’s notice period expires. Such an agreement will not prevent a thorough police investigation where that is appropriate.

Record keeping

213. Details of allegations that are found to have been malicious should be removed from personnel records. However, for all other allegations, it is important that a clear and comprehensive summary of the allegation, details of how the allegation was followed up

and resolved, and a note of any action taken and decisions reached, is kept on the confidential personnel file of the accused, and a copy provided to the person concerned.

214. The purpose of the record is to enable accurate information to be given in response to any future request for a reference, where appropriate. It will provide clarification in cases where future DBS checks reveal information from the police about an allegation that did not result in a criminal conviction and it will help to prevent unnecessary re-investigation if, as sometimes happens, an allegation re-surfaces after a period of time.

215. Schools and colleges have an obligation to preserve records which contain information about allegations of sexual abuse for the Independent Inquiry into Child Sexual Abuse (IICSA), for the term of the inquiry (further information can be found on the [IICSA website](#)). All other records should be retained at least until the accused has reached normal pension age or for a period of 10 years from the date of the allegation if that is longer.

216. The Information Commissioner has published guidance on employment records in its Employment Practices Code and supplementary guidance, which provides some practical advice on record retention.⁹⁴

References

217. Cases in which an allegation was proven to be false, unsubstantiated or malicious should not be included in employer references. A history of repeated concerns or allegations which have all been found to be false, unsubstantiated or malicious should also not be included in any reference. See paragraphs 139-142 for further information on references.

Timescales

218. It is in everyone's interest to resolve cases as quickly as possible and is consistent with a fair and thorough investigation. All allegations should be investigated as a priority to avoid any delay. Target timescales are shown below: the time taken to investigate and resolve individual cases depends on a variety of factors including the nature, seriousness and complexity of the allegation, but these targets should be achieved in all but truly exceptional cases. It is expected that 80 per cent of cases should be resolved within one month, 90 per cent within three months, and all but the most exceptional cases should be completed within 12 months.

219. For those cases where it is clear immediately that the allegation is

⁹⁴ Information Commissioner's Office – [Guidance on employment records in its Employment Practices Code and supplementary guidance](#).

unsubstantiated or malicious, they should be resolved within one week. Where the initial consideration decides that the allegation does not involve a possible criminal offence it will be for the employer to deal with it, although if there are concerns about child protection, the employer should discuss them with the designated officer(s). In such cases, if the nature of the allegation does not require formal disciplinary action, the employer should instigate appropriate action within three working days. If a disciplinary hearing is required and can be held without further investigation, the hearing should be held within 15 working days.

Oversight and monitoring

220. The designated officer(s) has overall responsibility for oversight of the procedures for dealing with allegations, for resolving any inter-agency issues, and for liaison with the three safeguarding partners. The designated officer(s) will provide advice and guidance to the case manager, in addition to liaising with the police and other agencies, and monitoring the progress of cases to ensure that they are dealt with as quickly as possible consistent with a thorough and fair process. Reviews should be conducted at fortnightly or monthly intervals, depending on the complexity of the case.

221. Police forces should also identify officers who will be responsible for:

- liaising with the designated officer(s);
- taking part in the strategy discussion or initial evaluation;
- subsequently reviewing the progress of those cases in which there is a police investigation; and
- sharing information on completion of the investigation or any prosecution.

222. If the strategy discussion or initial assessment decides that a police investigation is required, the police should also set a target date for reviewing the progress of the investigation and consulting the Crown Prosecution Service (CPS) about whether to: charge the individual; continue to investigate; or close the investigation. Wherever possible, that review should take place no later than four weeks after the initial evaluation. Dates for subsequent reviews, ideally at fortnightly intervals, should be set at the meeting if the investigation continues.

Suspension

223. The possible risk of harm to children posed by an accused person should be evaluated and managed in respect of the child(ren) involved in the allegations. In some rare cases that will require the case manager to consider suspending the accused until the case is resolved. Suspension should not be an automatic response when an allegation is reported: all options to avoid suspension should be considered prior to taking that step. If the case manager is concerned about the welfare of other children in

the community or the teacher's family, those concerns should be reported to the designated officer(s), children's social care or the police as required. But suspension is highly unlikely to be justified on the basis of such concerns alone.

224. Suspension should be considered only in a case where there is cause to suspect a child or other children at the school or college is/are at risk of harm or the case is so serious that it might be grounds for dismissal. However, a person should not be suspended automatically: the case manager must consider carefully whether the circumstances warrant suspension from contact with children at the school or college or until the allegation is resolved, and may wish to seek advice from their personnel adviser and the designated officer(s). In cases where the school or sixth form college is made aware that the Secretary of State has made an interim prohibition order in respect of an individual who works at the school or sixth form college, immediate action should be taken to ensure the individual does not carry out work in contravention of the order, i.e. pending the findings of the TRA investigation, the individual must not carry out teaching work.

225. The case manager should also consider whether the result that would be achieved by immediate suspension could be obtained by alternative arrangements. In many cases an investigation can be resolved quickly and without the need for suspension. If the designated officer(s), police and children's social care services have no objections to the member of staff continuing to work during the investigation, the case manager should be as inventive as possible to avoid suspension. Based on assessment of risk, the following alternatives should be considered by the case manager before suspending a member of staff:

- redeployment within the school or college so that the individual does not have direct contact with the child or children concerned;
- providing an assistant to be present when the individual has contact with children;
- redeploying to alternative work in the school or college so the individual does not have unsupervised access to children;
- moving the child or children to classes where they will not come into contact with the member of staff, making it clear that this is not a punishment and parents have been consulted; or
- temporarily redeploying the member of staff to another role in a different location, for example to an alternative school or college or work for the local authority or academy trust.

226. These alternatives allow time for an informed decision regarding the suspension and possibly reduce the initial impact of the allegation. This will, however, depend upon the nature of the allegation. The case manager should consider the potential permanent professional reputational damage to employees that can result from suspension where an allegation is later found to be unsubstantiated or maliciously intended.

227. If immediate suspension is considered necessary, the rationale and justification for such a course of action should be agreed and recorded by both the case manager and the designated officer(s). This should also include what alternatives to suspension have been considered and why they were rejected.

228. Where it has been deemed appropriate to suspend the person, written confirmation should be dispatched within one working day, giving as much detail as appropriate for the reasons for the suspension. It is not acceptable for an employer to leave a person who has been suspended without any support. The person should be informed at the point of their suspension who their named contact is within the organisation and provided with their contact details.

229. Children's social care services or the police cannot require the case manager to suspend a member of staff or a volunteer, although they should give appropriate weight to their advice. The power to suspend is vested in the proprietor of the school, or governing bodies of the school or college who are the employers of staff at the school or college. However, where a strategy discussion or initial evaluation concludes that there should be enquiries by the children's social care services and/or an investigation by the police, the designated officer(s) should canvass police and children's social care services for views about whether the accused member of staff needs to be suspended from contact with children in order to inform the school or college consideration of suspension. Police involvement does not make it mandatory to suspend a member of staff; this decision should be taken on a case-by-case basis having undertaken a risk assessment.

Information sharing

230. In a strategy discussion or the initial evaluation of the case, the agencies involved should share all relevant information they have about the person who is the subject of the allegation, and about the alleged victim.

231. Where the police are involved, wherever possible the employer should ask the police to obtain consent from the individuals involved to share their statements and evidence for use in the employer disciplinary process. This should be done as their investigation proceeds and will enable the police to share relevant information without delay at the conclusion of their investigation or any court case.

232. Children's social care services should adopt a similar procedure when making enquiries to determine whether the child or children named in the allegation are in need of protection or services, so that any information obtained in the course of those enquiries which is relevant to a disciplinary case can be passed to the employer without delay.

Specific actions

Following a criminal investigation or a prosecution

233. The police should inform the employer and designated officer(s) immediately when a criminal investigation and any subsequent trial is complete, or if it is decided to close an investigation without charge, or not to continue to prosecute the case after the person has been charged. In those circumstances, the designated officer(s) should discuss with the case manager whether any further action, including disciplinary action, is appropriate and, if so, how to proceed. The information provided by the police and/or children's social care services should inform that decision. The options will depend on the circumstances of the case and the consideration will need to take into account the result of the police investigation or the trial, as well as the different standard of proof required in disciplinary and criminal proceedings.

On conclusion of a case

234. If the allegation is substantiated and the person is dismissed or the employer ceases to use the person's services, or the person resigns or otherwise ceases to provide his or her services, the designated officer(s) should discuss with the case manager and their personnel adviser whether the school or college will decide to make a referral to the DBS for consideration of whether inclusion on the barred lists is required;⁹⁵ and, in the case of a member of teaching staff at a school or sixth form college, whether to refer the matter to the TRA to consider prohibiting the individual from teaching.

235. **There is a legal requirement for employers to make a referral to the DBS where they think that an individual has engaged in conduct that harmed (or is likely to harm) a child; or if a person otherwise poses a risk of harm to a child. See paragraph 157.**

236. Where it is decided on the conclusion of a case that a person who has been suspended can return to work, the case manager should consider how best to facilitate that. Most people will benefit from some help and support to return to work after a stressful experience. Depending on the individual's circumstances, a phased return and/or the provision of a mentor to provide assistance and support in the short term may be appropriate. The case manager should also consider how the person's contact with the child or children who made the allegation can best be managed if they are still a pupil or student at the school or college.

⁹⁵ Disclosure and Barring Service – guidance on [Referrals to the DBS](#).

In respect of malicious or unsubstantiated allegations

237. If an allegation is determined to be unsubstantiated or malicious, the designated officer(s) should refer the matter to the children's social care services to determine whether the child concerned is in need of services, or may have been abused by someone else. If an allegation is shown to be deliberately invented or malicious, the headteacher, principal or proprietor should consider whether any disciplinary action is appropriate against the pupil or student who made it; or whether the police should be asked to consider if action might be appropriate against the person responsible, even if he or she were not a pupil or student.

Learning lessons

238. At the conclusion of a case in which an allegation *is* substantiated, the designated officer(s) should review the circumstances of the case with the case manager to determine whether there are any improvements to be made to the school's or college's procedures or practice to help prevent similar events in the future. This should include issues arising from the decision to suspend the member of staff, the duration of the suspension and whether or not suspension was justified. Lessons should also be learnt from the use of suspension when the individual is subsequently reinstated. The designated officer(s) and case manager should consider how future investigations of a similar nature could be carried out without suspending the individual.

Further information

239. See the [College of Policing: Engagement, Communication and Media relations](#).

Part five: Child on Child Sexual Violence and Sexual Harassment

240. This part of the guidance is about managing reports of child on child sexual violence and sexual harassment.

241. Governing bodies and proprietors should be aware that the department has published detailed advice to support schools and colleges. The advice is available here: [Sexual Violence and Sexual Harassment Between Children in Schools and Colleges](#) and includes, what sexual violence and sexual harassment look like, important context to be aware of, related legal responsibilities for schools and colleges and advice on a whole school or college approach to preventing child on child sexual violence and sexual harassment.

Responding to reports of sexual violence and sexual harassment

242. Reports of sexual violence and sexual harassment are likely to be complex and require difficult professional decisions to be made, often quickly and under pressure. Pre-planning, effective training and effective policies will provide schools and colleges with the foundation for a calm, considered and appropriate response to any reports.

243. This part of the guidance does not attempt to provide (nor would it be possible to provide) detailed guidance on what to do in any or every particular case. The guidance provides effective safeguarding practice and principles for schools and colleges to consider in their decision making process.

244. Ultimately, any decisions are for the school or college to make on a case-by-case basis, with the designated safeguarding lead (or a deputy) taking a leading role and using their professional judgement, supported by other agencies, such as children's social care and the police as required.

245. There is support available for schools and colleges. Paragraph 43 and Annex A in the [Sexual Violence and Sexual Harassment Between Children in Schools and Colleges](#) advice provides information and links to resources.

The immediate response to a report

Responding to the report

246. The school's or college's initial response to a report from a child is important. It is essential that **all** victims are reassured that they are being taken seriously and that they will be supported and kept safe. A victim should never be given the impression that they

are creating a problem by reporting sexual violence or sexual harassment. Nor should a victim ever be made to feel ashamed for making a report.

247. As per Part one of this guidance, all staff should be trained to manage a report. Local policies (and training) will dictate exactly how reports should be managed. However, effective safeguarding practice includes:

- not promising confidentiality at this initial stage as it is very likely a concern will have to be shared further (for example, with the designated safeguarding lead or children's social care) to discuss next steps. Staff should only share the report with those people who are necessary in order to progress it. It is important that the victim understands what the next steps will be and who the report will be passed to;
- recognising a child is likely to disclose to someone they trust: this could be **anyone** on the school or college staff. It is important that the person to whom the child discloses recognises that the child has placed them in a position of trust. They should be supportive and respectful of the child;
- listening carefully to the child, being non-judgmental, being clear about boundaries and how the report will be progressed, not asking leading questions and only prompting the child where necessary with open questions – where, when, what, etc;
- considering the best way to make a record of the report. Best practice is to wait until the end of the report and immediately write up a thorough summary. This allows the staff member to devote their full attention to the child and to listen to what they are saying. It may be appropriate to make notes during the report (especially if a second member of staff is present). However, if making notes, staff should be conscious of the need to remain engaged with the child and not appear distracted by the note taking. Either way, it is essential a written record is made;
- only recording the facts as the child presents them. The notes should not reflect the personal opinion of the note taker. Schools and colleges should be aware that notes of such reports could become part of a statutory assessment by children's social care and/or part of a criminal investigation;
- where the report includes an online element, being aware of [searching screening and confiscation](#) advice (for schools) and [UKCCIS sexting](#) advice (for schools and colleges). The key consideration is for staff not to view or forward illegal images of a child. The highlighted advice provides more details on what to do when viewing an image is unavoidable.
- if possible, managing reports with two members of staff present, (preferably one of them being the designated safeguarding lead or a deputy). However, this might not always be possible; and

- informing the designated safeguarding lead (or deputy), as soon as practically possible, if the designated safeguarding lead (or deputy) is not involved in the initial report.

Risk Assessment

248. When there has been a report of sexual violence, the designated safeguarding lead (or a deputy) should make an immediate risk and needs assessment. Where there has been a report of sexual harassment, the need for a risk assessment should be considered on a case-by-case basis. The risk and needs assessment should consider:

- the victim, especially their protection and support;
- the alleged perpetrator; and
- all the other children (and, if appropriate, adult students and staff) at the school or college, especially any actions that are appropriate to protect them.

249. Risk assessments should be recorded (written or electronic) and should be kept under review. At all times, the school or college should be actively considering the risks posed to all their pupils and students and putting adequate measures in place to protect them and keep them safe.

250. The designated safeguarding lead (or a deputy) should ensure they are engaging with children's social care and specialist services as required. Where there has been a report of sexual violence, it is likely that professional risk assessments by social workers and or sexual violence specialists will be required. The risk assessment at paragraph 248 is not intended to replace the detailed assessments of expert professionals. Any such professional assessments should be used to inform the school's or college's approach to supporting and protecting their pupils and students and updating their own risk assessment.

Action following a report of sexual violence and/or sexual harassment

What to consider

251. Schools and colleges should carefully consider any report of sexual violence and/or sexual harassment. The designated safeguarding lead (or deputy) is likely to have a complete safeguarding picture and be the most appropriate person to advise on the school's or college's initial response. Important considerations will include:

- the wishes of the victim in terms of how they want to proceed. This is especially important in the context of sexual violence and sexual harassment. Victims should be given as much control as is reasonably possible over decisions regarding how

any investigation will be progressed and any support that they will be offered;

- the nature of the alleged incident(s), including: whether a crime may have been committed and consideration of harmful sexual behaviour;
- the ages of the children involved;
- the developmental stages of the children involved;
- any power imbalance between the children. For example, is the alleged perpetrator significantly older, more mature or more confident? Does the victim have a disability or learning difficulty?;
- if the alleged incident is a one-off or a sustained pattern of abuse;
- are there ongoing risks to the victim, other children, adult students or school or college staff; and
- other related issues and wider context. Contextual safeguarding is discussed at paragraph 50.

252. As always when concerned about the welfare of a child, all staff should act in the best interests of the child. In all cases, schools and colleges should follow general safeguarding principles as set out throughout this guidance. **Immediate** consideration should be given as to how best to support and protect the victim and the alleged perpetrator (and any other children involved/impacted).

253. The starting point regarding any report should always be that sexual violence and sexual harassment is not acceptable and will not be tolerated. Especially important is not to pass off any sexual violence or sexual harassment as 'banter', 'part of growing up' or 'having a laugh'.

Children sharing a classroom: Initial considerations when the report is made

Any report of sexual violence is likely to be traumatic for the victim.

However, reports of rape and assault by penetration are likely to be especially difficult with regard to the victim and close proximity with the alleged perpetrator is likely to be especially distressing. Whilst the school or college establishes the facts of the case and starts the process of liaising with children's social care and the police, the alleged perpetrator should be removed from any classes they share with the victim. The school or college should also consider how best to keep the victim and alleged perpetrator a reasonable distance apart on school or college premises and on transport to and from the school or college, where appropriate. These actions are in the best interests of both children and should not be perceived to be a judgment on the guilt of the alleged perpetrator.

For other reports of sexual violence and sexual harassment, the proximity of the victim and alleged perpetrator and considerations regarding shared classes, sharing school

or college premises and school or college transport, should be considered immediately.

In all cases, the initial report should be carefully evaluated, reflecting the considerations set out at paragraph 251. The wishes of the victim, the nature of the allegations and the protection of all children in the school or college will be especially important when considering any immediate actions.

Options to manage the report

254. It is important that schools and colleges consider every report on a case-by-case basis as per paragraph 251. When to inform the alleged perpetrator will be a decision that should be carefully considered. Where a report is going to be made to children's social care and/or the police, then, as a general rule, the school or college should speak to the relevant agency and discuss next steps and how the alleged perpetrator will be informed of the allegations. However, as per general safeguarding principles, this does not and should not stop the school or college taking immediate action to safeguard their children, where required. There are four likely scenarios for schools and colleges to consider when managing any reports of sexual violence and/or sexual harassment.

1. Manage internally

- In some cases of sexual harassment, for example, one-off incidents, the school or college may take the view that the children concerned are not in need of early help or statutory intervention and that it would be appropriate to handle the incident internally, perhaps through utilising their behaviour and bullying policies and by providing pastoral support.
- Whatever the school's or college's response, it should be underpinned by the principle that sexual violence and sexual harassment is never acceptable and will not be tolerated.
- All concerns, discussions, decisions and reasons for decisions should be recorded (written or electronic).

2. Early help

- In line with 1 above, the school or college may decide that the children involved do not require statutory interventions, but may benefit from early help. Early help means providing support as soon as a problem emerges, at any point in a child's life. Providing early help is more effective in promoting the welfare of children than reacting later. Early help can be particularly useful to address non-violent harmful sexual behaviour and may prevent escalation of sexual violence.
- Full details of the early help process are in Chapter one of [Working Together to](#)

Safeguard Children.

- Multi-agency early help will work best when placed alongside strong school or college policies, preventative education and engagement with parents and carers.
- Whatever the response, it should be under-pinned by the principle that sexual violence and sexual harassment is never acceptable and will not be tolerated.
- All concerns, discussions, decisions and reasons for decisions should be recorded (written or electronic).

3. Referrals to children's social care

- Where a child has been harmed, is at risk of harm, or is in immediate danger, schools and colleges should make a referral to local children's social care.
- At the referral to children's social care stage, schools and colleges will generally inform parents or carers, unless there are compelling reasons not to (if informing a parent or carer is going to put the child at additional risk). Any such decision should be made with the support of children's social care.
- If a referral is made, children's social care will then make enquiries to determine whether any of the children involved are in need of protection or other services.
- Where statutory assessments are appropriate, the school or college (especially the designated safeguarding lead or a deputy) should be working alongside, and cooperating with, the relevant lead social worker. Collaborative working will help ensure the best possible package of coordinated support is implemented for the victim and, where appropriate, the alleged perpetrator and any other children that require support.
- Schools and colleges should not wait for the outcome (or even the start) of a children's social care investigation before protecting the victim and other children in the school or college. It will be important for the designated safeguarding lead (or a deputy) to work closely with children's social care (and other agencies as required) to ensure any actions the school or college takes do not jeopardise a statutory investigation. The risk assessment as per paragraph 248 will help inform any decision. Consideration of safeguarding the victim, alleged perpetrator, any other children directly involved in the safeguarding report and all children at the school or college should be **immediate**.
- In some cases, children's social care will review the evidence and decide a statutory intervention is not appropriate. The school or college (generally led by the designated safeguarding lead or a deputy) should be prepared to refer again if they believe the child remains in immediate danger or at risk of harm. If a statutory assessment is not appropriate, the designated safeguarding lead (or a deputy)

should consider other support mechanisms such as early help, specialist support and pastoral support.

- Whatever the response, it should be under-pinned by the principle that sexual violence and sexual harassment is never acceptable and will not be tolerated.
- All concerns, discussions, decisions and reasons for decisions should be recorded (written or electronic).

4. Reporting to the Police

- **Any report to the police will generally be in parallel with a referral to children's social care (as above).**
- It is important that the designated safeguarding lead (and their deputies) are clear about the local process for referrals and follow that process.
- Where a report of rape, assault by penetration or sexual assault is made, the starting point is this should be passed on to the police. Whilst the age of criminal responsibility is ten, if the alleged perpetrator is under ten, the starting principle of reporting to the police remains. The police will take a welfare, rather than a criminal justice, approach.
- At this stage, schools and colleges will generally inform parents or carers unless there are compelling reasons not to, for example, if informing a parent or carer is likely to put a child at additional risk. In circumstances where parents or carers have not been informed, it will be especially important that the school or college is supporting the child in any decision they take. This should be with the support of children's social care and any appropriate specialist agencies.
- Where a report has been made to the police, the school or college should consult the police and agree what information can be disclosed to staff and others, in particular, the alleged perpetrator and their parents or carers. They should also discuss the best way to protect the victim and their anonymity.
- All police forces in England have specialist units that investigate child abuse. The names and structures of these units are matters for local forces. It will be important that the designated safeguarding lead (and their deputies) are aware of their local arrangements.
- In some cases, it may become clear very quickly, that the police (for whatever reason) will not take further action. In such circumstances, it is important that the school or college continue to engage with specialist support for the victim as required.
- Whatever the response, it should be under-pinned by the principle that sexual violence and sexual harassment is never acceptable and will not be tolerated.

- All concerns, discussions, decisions and reasons for decisions should be recorded (written or electronic).

Considering bail conditions

- From April 2017, the use of police bail has been dramatically reduced and will only be used when deemed necessary and proportionate in exceptional circumstances. Consideration will be given to less invasive options to safeguard victims and witnesses and the administration of justice. Therefore, it is less likely that a child attending school or college will be on police bail with conditions attached if there are alternative measures to mitigate any risk.
- In the absence of bail conditions, when there is a criminal investigation, early engagement and joined up working between the school or college, children's social care and the police will be critical to support the victim, alleged perpetrator and other children involved (especially potential witnesses). Where required, advice from the police should be sought in order to help the school or college manage their safeguarding responsibilities.
- The term 'Released Under Investigation' or 'RUI' will replace those previously on bail for offences in circumstances that do not warrant the application of bail to either re-attend on a particular date or to include conditions preventing activity or in some cases ensuring compliance with an administrative process.
- Where bail is deemed proportionate and necessary, the school or college should work with children's social care and the police to manage any implications and safeguard their children. An important consideration will be to ensure that the victim can continue in their normal routine, including continuing to receive a suitable education.

Managing any delays in the criminal process

- There may be delays in any case that is being progressed through the criminal justice system. Schools and colleges **should not wait** for the outcome (or even the start) of a police investigation before protecting the victim, alleged perpetrator and other children in the school or college. The risk assessment as per paragraph 248 will help inform any decision.
- Whilst protecting children and/or taking any disciplinary measures against the alleged perpetrator, it will be important for the designated safeguarding lead (or a deputy) to work closely with the police (and other agencies as required), to ensure any actions the school or college take do not jeopardise the police investigation.
- If schools or colleges have questions about the investigation, they should ask the police. The police will help and support the school or college as much as they can (within the constraints of any legal restrictions).

The end of the criminal process

- If a child is convicted or receives a caution for a sexual offence, the school or college should update its risk assessment, ensure relevant protections are in place for all the children at the school or college and, if it has not already, consider any suitable action in light of their behaviour policy. If the perpetrator remains in the same school or college as the victim, the school or college should be very clear as to their expectations regarding the perpetrator now they have been convicted or cautioned. This could include expectations regarding their behaviour and any restrictions the school or college thinks are reasonable and proportionate with regard to the perpetrator's timetable.
- Any conviction (even with legal anonymity reporting restrictions) is potentially going to generate interest among other pupils or students in the school or college. It will be important that the school or college ensure both the victim and alleged perpetrator remain protected, especially from any bullying or harassment (including online).
- Where cases are classified as "no further action" (NFA'd) by the police or Crown Prosecution Service, or where there is a not guilty verdict, the school or college should continue to offer support to the victim and the alleged perpetrator for as long as is necessary. A not guilty verdict or a decision not to progress with their case will likely be traumatic for the victim. The fact that an allegation cannot be substantiated does not necessarily mean that it was unfounded. Schools and colleges should discuss any decisions with the victim in this light and continue to offer support. The alleged perpetrator is also likely to require ongoing support for what will have likely been a difficult experience.

Ongoing response

Safeguarding and supporting the victim

255. The following principles are based on effective safeguarding practice and should help shape any decisions regarding safeguarding and supporting the victim.

- Consider the age and the developmental stage of the victim, the nature of the allegations and the potential risk of further abuse. Schools and colleges should be aware that, by the very nature of sexual violence and sexual harassment, a power imbalance is likely to have been created between the victim and alleged perpetrator.
- The needs and wishes of the victim should be paramount (along with protecting the child) in any response. It is important they feel in as much control of the process as is reasonably possible. Wherever possible, the victim, if they wish,

should be able to continue in their normal routine. Overall, the priority should be to make the victim's daily experience as normal as possible, so that the school or college is a safe space for them.

- The victim should never be made to feel they are the problem for making a report or made to feel ashamed for making a report.
- Consider the proportionality of the response. Support should be tailored on a case-by-case basis. The support required regarding a one-off incident of sexualised name-calling is likely to be vastly different from that for a report of rape. Support can include:
 - Children and Young People's Independent Sexual Violence Advisors (ChISVAs) provide emotional and practical support for victims of sexual violence. They are based within the specialist sexual violence sector and will help the victim understand what their options are and how the criminal justice process works if they have reported or are considering reporting to the police. ChISVAs will work in partnership with schools and colleges to ensure the best possible outcomes for the victim.
 - Police and social care agencies can signpost to ChISVA services (where available) or referrals can be made directly to the ChISVA service by the young person or school or college. Contact details for ChISVAs can be found at [Rape Crisis](#) and [The Survivors Trust](#).
 - Child and adolescent mental health services ([CAMHS](#))
 - [Rape Crisis Centre's](#) can provide therapeutic support for children who have experienced sexual violence.
 - [Internet Watch Foundation](#) (to potentially remove illegal images)

256. Victims may not disclose the whole picture immediately. They may be more comfortable providing information on a piecemeal basis. It is essential that dialogue is kept open and encouraged. When it is clear that ongoing support will be required, schools and colleges should ask the victim if they would find it helpful to have a designated trusted adult (for example, their form tutor or designated safeguarding lead) to talk to about their needs. The choice of any such adult should be the victim's. Schools and colleges should respect and support this choice.

257. A victim of sexual violence is likely to be traumatised and, in some cases, may struggle in a normal classroom environment. While schools and colleges should avoid any action that would have the effect of isolating the victim, in particular from supportive peer groups, there may be times when the victim finds it difficult to maintain a full-time timetable and may express a wish to withdraw from lessons and activities. This should be

because the victim wants to, not because it makes it easier to manage the situation. If required, schools and colleges should provide a physical space for victims to withdraw.

258. It may be necessary for schools and colleges to maintain arrangements to protect and support the victim for a long time. Schools and colleges should be prepared for this and should work with children's social care and other agencies as required.

259. It is important that the school or college do everything they reasonably can to protect the victim from bullying and harassment as a result of any report they have made.

260. Whilst they should be given all the necessary support to remain in their school or college, if the trauma results in the victim being unable to do this, alternative provision or a move to another school or college should be considered to enable them to continue to receive suitable education. This should only be at the request of the victim (and following discussion with their parents or carers).

261. It is important that if the victim does move to another educational institution (for any reason), that the new educational institution is made aware of any ongoing support needs. The designated safeguarding lead should take responsibility to ensure this happens (and should discuss with the victim and, where appropriate their parents or carers as to the most suitable way of doing this) as well as transferring the child protection file. Information sharing advice referenced at paragraph 78 will help support this process.

Ongoing Considerations: Victim and alleged perpetrator sharing classes

Page 66 considered the immediate response to a report. Once the designated safeguarding lead (or a deputy) has decided what the next steps will be in terms of progressing the report, they should consider again the question of the victim and alleged perpetrator sharing classes and sharing space at school or college. This will inevitably involve complex and difficult professional decisions, including considering their duty to safeguard children and their duty to educate them. It is important each report is considered on a case-by-case basis and risk assessments are updated as appropriate. As always when concerned about the welfare of a child, the best interests of the child should come first. In all cases, schools and colleges should follow general safeguarding principles as per this guidance.

Where there is a criminal investigation into a rape, assault by penetration or sexual assault, the alleged perpetrator should be removed from any classes they share with the victim. The school or college should also consider how best to keep the victim and alleged perpetrator a reasonable distance apart on school or college premises and on transport to and from school or college where appropriate. This is in the best interests of both children and should not be perceived to be a judgement on the guilt of the alleged perpetrator. As per paragraph 254, close liaison with the police is essential.

Where a criminal investigation into a rape or assault by penetration leads to a conviction or caution, the school or college should take suitable action, if they have not already done so. In all but the most exceptional of circumstances, the rape or assault is likely to constitute a serious breach of discipline and lead to the view that allowing the perpetrator to remain in the same school or college would seriously harm the education or welfare of the victim (and potentially other pupils or students).

Where a criminal investigation into sexual assault leads to a conviction or caution, the school or college should, if it has not already, consider any suitable sanctions in light of their behaviour policy, including consideration of permanent exclusion.⁹⁶ Where the perpetrator is going to remain at the school or college, the principle would be to continue keeping the victim and perpetrator in separate classes and continue to consider the most appropriate way to manage potential contact on school and college premises and transport. The nature of the conviction or caution and wishes of the victim will be especially important in determining how to proceed in such cases.

In all cases, schools and colleges should record and be able to justify their decision-making.

Reports of sexual assault and sexual harassment will, in some cases, not lead to a report to the police (for a variety of reasons). In some cases, rape, assault by penetration, sexual assault or sexual harassment are reported to the police and the case is not progressed or are reported to the police and ultimately result in a not guilty verdict. None of this means the offence did not happen or that the victim lied. The process will have affected both victim and alleged perpetrator. Appropriate support should be provided to both as required and consideration given to sharing classes and potential contact as required on a case-by-case basis. In all cases, schools and colleges should record and be able to justify their decision-making.

All of the above should be considered with the needs and wishes of the victim at the heart of the process (supported by parents and carers as required). Any arrangements should be kept under review.

Safeguarding and supporting the alleged perpetrator

262. The following principles are based on effective safeguarding practice and should help shape any decisions regarding safeguarding and supporting the alleged perpetrator:

- The school or college will have a difficult balancing act to consider. On one hand, they need to safeguard the victim (and the wider pupil/student body) and on the other hand

⁹⁶ Maintained schools, academies and pupil referral units should follow the statutory guidance [here](#). Independent schools and colleges should consider excluding as per their own policies.

provide the alleged perpetrator with an education, safeguarding support as appropriate and implement any disciplinary sanctions.

- Consider the age and the developmental stage of the alleged perpetrator and nature of the allegations. Any child will likely experience stress as a result of being the subject of allegations and/or negative reactions by their peers to the allegations against them.
- Consider the proportionality of the response. Support (and sanctions) should be considered on a case-by-case basis. An alleged perpetrator may potentially have unmet needs (in some cases these may be considerable) as well as potentially posing a risk of harm to other children. Harmful sexual behaviours in young children may be (and often are⁹⁷) a symptom of either their own abuse or exposure to abusive practices and or materials. Advice should be taken, as appropriate, from children's social care, specialist sexual violence services and the police.
- It is important that if the alleged perpetrator does move to another educational institution (for any reason), that the new educational institution is made aware of any ongoing support needs and where appropriate, potential risks to other children and staff. The designated safeguarding lead should take responsibility to ensure this happens as well as transferring the child protection file. Information sharing advice referenced at paragraph 78 will help support this process.

⁹⁷ [Hackett et al 2013](#) study of children and young people with harmful sexual behaviour suggests that two-thirds had experienced some kind of abuse or trauma.

Annex A: Further information

Annex A contains important additional information about specific forms of abuse and safeguarding issues. School and college leaders and those staff who work directly with children should read this annex.

As per Part one of this guidance, if staff have any concerns about a child's welfare, they should act on them immediately. They should follow their own organisation's child protection policy and speak to the designated safeguarding lead (or deputy).

Where a child is suffering, or is likely to suffer from harm, it is important that a referral to children's social care (and if appropriate the police) is made immediately.

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Children and the court system

Children are sometimes required to give evidence in criminal courts, either for crimes committed against them or for crimes they have witnessed. There are two age appropriate guides to support children [5-11-year olds](#) and [12-17 year olds](#).

The guides explain each step of the process and support and special measures that are available. There are diagrams illustrating the courtroom structure and the use of video links is explained.

Making child arrangements via the family courts following separation can be stressful and entrench conflict in families. This can be stressful for children. The Ministry of Justice has launched an online [child arrangements information tool](#) with clear and concise information on the dispute resolution service. This may be useful for some parents and carers.

Children missing from education

All staff should be aware that children going missing, particularly repeatedly, can act as a vital warning sign of a range of safeguarding possibilities. This may include abuse and neglect, which may include sexual abuse or exploitation and child criminal exploitation. It may indicate mental health problems, risk of substance abuse, risk of travelling to conflict zones, risk of female genital mutilation or risk of forced marriage. Early intervention is necessary to identify the existence of any underlying safeguarding risk and to help prevent the risks of a child going missing in future. Staff should be aware of their school's or college's unauthorised absence and children missing from education procedures.

Children with family members in prison

Approximately 200,000 children have a parent sent to prison each year. These children are at risk of poor outcomes including poverty, stigma, isolation and poor mental health. [NICCO](#) provides information designed to support professionals working with offenders and their children, to help mitigate negative consequences for those children.

Child sexual exploitation

Child sexual exploitation is a form of child sexual abuse. It occurs where an individual or group takes advantage of an imbalance of power to coerce, manipulate or deceive a child or young person under the age of 18 into sexual activity (a) in exchange for something the victim needs or wants, and/or (b) for the financial advantage or increased status of the perpetrator or facilitator. The victim may have been sexually exploited even if the sexual activity appears consensual. Child sexual exploitation

does not always involve physical contact: it can also occur through the use of technology. Like all forms of child sex abuse, child sexual exploitation:

- can affect any child or young person (male or female) under the age of 18 years, including 16 and 17 year olds who can legally consent to have sex;
- can still be abuse even if the sexual activity appears consensual;
- can include both contact (penetrative and non-penetrative acts) and non-contact sexual activity;
- can take place in person or via technology, or a combination of both;
- can involve force and/or enticement-based methods of compliance and may, or may not, be accompanied by violence or threats of violence;
- may occur without the child or young person's immediate knowledge (e.g. through others copying videos or images they have created and posted on social media);
- can be perpetrated by individuals or groups, males or females, and children or adults. The abuse can be a one-off occurrence or a series of incidents over time, and range from opportunistic to complex organised abuse; and
- is typified by some form of power imbalance in favour of those perpetrating the abuse. Whilst age may be the most obvious, this power imbalance can also be due to a range of other factors including gender, sexual identity, cognitive ability, physical strength, status, and access to economic or other resources.

Some of the following signs may be indicators of child sexual exploitation:

- children who appear with unexplained gifts or new possessions;
- children who associate with other young people involved in exploitation;
- children who have older boyfriends or girlfriends;
- children who suffer from sexually transmitted infections or become pregnant;
- children who suffer from changes in emotional well-being;
- children who misuse drugs and alcohol;
- children who go missing for periods of time or regularly come home late; and
- children who regularly miss school or education or do not take part in education.

Child criminal exploitation: county lines

Criminal exploitation of children is a geographically widespread form of harm that is a typical feature of county lines criminal activity: drug networks or gangs groom and exploit children and young people to carry drugs and money from urban areas to suburban and rural areas, market and seaside towns. Key to identifying potential involvement in county lines are missing episodes, when the victim may have been trafficked for the purpose of

transporting drugs and a referral to the National Referral Mechanism⁹⁸ should be considered. Like other forms of abuse and exploitation, county lines exploitation:

- can affect any child or young person (male or female) under the age of 18 years;
- can affect any vulnerable adult over the age of 18 years;
- can still be exploitation even if the activity appears consensual;
- can involve force and/or enticement-based methods of compliance and is often accompanied by violence or threats of violence;
- can be perpetrated by individuals or groups, males or females, and young people or adults; and
- is typified by some form of power imbalance in favour of those perpetrating the exploitation. Whilst age may be the most obvious, this power imbalance can also be due to a range of other factors including gender, cognitive ability, physical strength, status, and access to economic or other resources.

Domestic abuse

The cross-government definition of domestic violence and abuse is:

Any incident or pattern of incidents of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been, intimate partners or family members regardless of gender or sexuality. The abuse can encompass, but is not limited to:

- psychological;
- physical;
- sexual;
- financial; and
- emotional

Exposure to domestic abuse and/or violence can have a serious, long lasting emotional and psychological impact on children. In some cases, a child may blame themselves for the abuse or may have had to leave the family home as a result. Domestic abuse affecting young people can also occur within their personal relationships, as well as in the context of their home life.

Advice on identifying children who are affected by domestic abuse and how they can be helped is available at:

⁹⁸ [national crime agency human-trafficking](#)

[NSPCC- UK domestic-abuse Signs Symptoms Effects](#)

[Refuge what is domestic violence/effects of domestic violence on children](#)

[Safelives: young people and domestic abuse](#)

Homelessness

Being homeless or being at risk of becoming homeless presents a real risk to a child's welfare. The designated safeguarding lead (and any deputies) should be aware of contact details and referral routes in to the Local Housing Authority so they can raise/progress concerns at the earliest opportunity. Indicators that a family may be at risk of homelessness include household debt, rent arrears, domestic abuse and anti-social behaviour, as well as the family being asked to leave a property. Whilst referrals and or discussion with the Local Housing Authority should be progressed as appropriate, and in accordance with local procedures, this does not, and should not, replace a referral into children's social care where a child has been harmed or is at risk of harm.

The Homelessness Reduction Act 2017 places a new legal duty on English councils so that everyone who is homeless or at risk of homelessness will have access to meaningful help including an assessment of their needs and circumstances, the development of a personalised housing plan, and work to help them retain their accommodation or find a new place to live. The following factsheets usefully summarise the new duties: [Homeless Reduction Act Factsheets](#). The new duties shift focus to early intervention and encourage those at risk to seek support as soon as possible, before they are facing a homelessness crisis.

In most cases school and college staff will be considering homelessness in the context of children who live with their families, and intervention will be on that basis. However, it should also be recognised in some cases 16 and 17 year olds could be living independently from their parents or guardians, for example through their exclusion from the family home, and will require a different level of intervention and support. Children's services will be the lead agency for these young people and the designated safeguarding lead (or a deputy) should ensure appropriate referrals are made based on the child's circumstances. The department and the Ministry of Housing, Communities and Local Government have published joint statutory guidance on the provision of accommodation for 16 and 17 year olds who may be homeless and/ or require accommodation: [here](#).

So-called 'honour-based' violence

So-called 'honour-based' violence (HBV) encompasses incidents or crimes which have been committed to protect or defend the honour of the family and/or the community, including female genital mutilation (FGM), forced marriage, and practices such as breast ironing. Abuse committed in the context of preserving "honour" often involves a

wider network of family or community pressure and can include multiple perpetrators. It is important to be aware of this dynamic and additional risk factors when deciding what form of safeguarding action to take. All forms of HBV are abuse (regardless of the motivation) and should be handled and escalated as such. Professionals in all agencies, and individuals and groups in relevant communities, need to be alert to the possibility of a child being at risk of HBV, or already having suffered HBV.

Actions

If staff have a concern regarding a child that might be at risk of HBV or who has suffered from HBV, they should speak to the designated safeguarding lead (or deputy). As appropriate, they will activate local safeguarding procedures, using existing national and local protocols for multi-agency liaison with police and children's social care. Where FGM has taken place, since 31 October 2015 there has been a mandatory reporting duty placed on **teachers**⁹⁹ that requires a different approach (see following section).

FGM

FGM comprises all procedures involving partial or total removal of the external female genitalia or other injury to the female genital organs. It is illegal in the UK and a form of child abuse with long-lasting harmful consequences.

FGM mandatory reporting duty for teachers

Section 5B of the Female Genital Mutilation Act 2003 (as inserted by section 74 of the Serious Crime Act 2015) places a statutory duty upon **teachers** along with regulated health and social care professionals in England and Wales, to report to the police where they discover (either through disclosure by the victim or visual evidence) that FGM appears to have been carried out on a girl under 18. Those failing to report such cases will face disciplinary sanctions. It will be rare for teachers to see visual evidence, and they should **not** be examining pupils or students, but the same definition of what is meant by "to discover that an act of FGM appears to have been carried out" is used for all professionals to whom this mandatory reporting duty applies. Information on when and how to make a report can be found at: [Mandatory reporting of female genital mutilation procedural information](#).

⁹⁹ Under Section 5B(11)(a) of the Female Genital Mutilation Act 2003, "teacher" means, in relation to England, a person within section 141A(1) of the Education Act 2002 (persons employed or engaged to carry out teaching work at schools and other institutions in England).

Teachers **must** personally report to the police cases where they discover that an act of FGM appears to have been carried out.¹⁰⁰ Unless the teacher has good reason not to, they should still consider and discuss any such case with the school's or college's designated safeguarding lead (or deputy) and involve children's social care as appropriate. The duty does not apply in relation to at risk or suspected cases (i.e. where the teacher does not discover that an act of FGM appears to have been carried out, either through disclosure by the victim or visual evidence) or in cases where the woman is 18 or over. In these cases, teachers should follow local safeguarding procedures. The following is a useful summary of the FGM mandatory reporting duty: [FGM Fact Sheet](#).

Forced marriage

Forcing a person into a marriage is a crime in England and Wales. A forced marriage is one entered into without the full and free consent of one or both parties and where violence, threats or any other form of coercion is used to cause a person to enter into a marriage. Threats can be physical or emotional and psychological. A lack of full and free consent can be where a person does not consent or where they cannot consent (if they have learning disabilities, for example). Nevertheless, some communities use religion and culture as a way to coerce a person into marriage. Schools and colleges can play an important role in safeguarding children from forced marriage.

The Forced Marriage Unit has published [statutory guidance](#) and [Multi-agency guidelines](#), with pages 35-36 of which focus on the role of schools and colleges. School and college staff can contact the Forced Marriage Unit if they need advice or information: Contact: 020 7008 0151 or email fmf@fco.gov.uk.

Preventing radicalisation

Children are vulnerable to extremist ideology and radicalisation. Similar to protecting children from other forms of harms and abuse, protecting children from this risk should be a part of a schools' or colleges' safeguarding approach.

[Extremism](#)¹⁰¹ is the vocal or active opposition to our fundamental values, including democracy, the rule of law, individual liberty and the mutual respect and tolerance of different faiths and beliefs. This also includes calling for the death of members of the

¹⁰⁰ Section 5B(6) of the Female Genital Mutilation Act 2003 states teachers need not report a case to the police if they have reason to believe that another teacher has already reported the case.

¹⁰¹ As defined in the Government's Counter Extremism Strategy.

armed forces. [Radicalisation](#)¹⁰² refers to the process by which a person comes to support terrorism and extremist ideologies associated with terrorist groups.

There is no single way of identifying whether a child is likely to be susceptible to an extremist ideology. Background factors combined with specific influences such as family and friends may contribute to a child's vulnerability. Similarly, radicalisation can occur through many different methods (such as social media) and settings (such as the internet).

However, it is possible to protect vulnerable people from extremist ideology and intervene to prevent those at risk of radicalisation being radicalised. As with other safeguarding risks, staff should be alert to changes in children's behaviour, which could indicate that they may be in need of help or protection. Staff should use their judgement in identifying children who might be at risk of radicalisation and act proportionately which may include the designated safeguarding lead (or deputy) making a referral to the Channel programme.

The Prevent duty

All schools and colleges are subject to a duty under section 26 of the Counter-Terrorism and Security Act 2015 (the CTSA 2015), in the exercise of their functions, to have "due regard¹⁰³ to the need to prevent people from being drawn into terrorism".¹⁰⁴ This duty is known as the Prevent duty.

The Prevent duty should be seen as part of schools' and colleges' wider safeguarding obligations. Designated safeguarding leads and other senior leaders should familiarise themselves with the revised [Prevent duty guidance: for England and Wales](#), especially paragraphs 57-76, which are specifically concerned with schools (and also covers childcare). The guidance is set out in terms of four general themes: Risk assessment, working in partnership, staff training, and IT policies.

Additional support

The department has published advice for schools on the [Prevent duty](#). The advice is intended to complement the Prevent guidance and signposts other sources of advice and support.

¹⁰² As defined in the Revised Prevent Duty Guidance for England and Wales.

¹⁰³ According to the Prevent duty guidance 'having due regard' means that the authorities should place an appropriate amount of weight on the need to prevent people being drawn into terrorism when they consider all the other factors relevant to how they carry out their usual functions.

¹⁰⁴ "Terrorism" for these purposes has the same meaning as for the Terrorism Act 2000 (section 1(1) to (4) of that Act).

There is additional guidance: [Prevent duty guidance: for further education institutions in England and Wales](#) that applies to colleges.

[Educate Against Hate](#), a website launched by the Her Majesty's Government has been developed to support and equip school and college leaders, teachers, and parents with information, tools and resources (including on the promotion of fundamental British values) to help recognise and address extremism and radicalisation in young people. The platform provides information on and access to training resources for teachers, staff and school and college leaders, some of which are free such as Prevent e-learning, via the Prevent Training catalogue.

Channel

Channel is a programme which focuses on providing support at an early stage to people who are identified as being vulnerable to being drawn into terrorism. It provides a mechanism for schools to make referrals if they are concerned that an individual might be vulnerable to radicalisation. An individual's engagement with the programme is entirely voluntary at all stages. Guidance on Channel is available at: [Channel guidance](#), and a Channel awareness e-learning programme is available for staff at: [Channel General Awareness](#).

The school's or college's designated safeguarding lead (and any deputies) should be aware of local procedures for making a Channel referral. As a Channel partner, the school or college may be asked to attend a Channel panel to discuss the individual referred to determine whether they are vulnerable to being drawn into terrorism and consider the appropriate support required.

Peer on peer abuse

Children can abuse other children. This is generally referred to as peer on peer abuse and can take many forms. This can include (but is not limited to) bullying (including cyberbullying); sexual violence and sexual harassment; physical abuse such as hitting, kicking, shaking, biting, hair pulling, or otherwise causing physical harm; sexting and initiating/hazing type violence and rituals.

Sexual violence and sexual harassment between children in schools and colleges

Context

Sexual violence and sexual harassment can occur between two children of **any** age and sex. It can also occur through a group of children sexually assaulting or sexually harassing a single child or group of children.

Children who are victims of sexual violence and sexual harassment will likely find the

experience stressful and distressing. This will, in all likelihood, adversely affect their educational attainment. Sexual violence and sexual harassment exist on a continuum and may overlap, they can occur online and offline (both physical and verbal) and are never acceptable. It is important that **all** victims are taken seriously and offered appropriate support. Staff should be aware that some groups are potentially more at risk. Evidence shows girls, children with SEND and LGBT children are at greater risk.

Staff should be aware of the importance of:

- making clear that sexual violence and sexual harassment is not acceptable, will never be tolerated and is not an inevitable part of growing up;
- not tolerating or dismissing sexual violence or sexual harassment as “banter”, “part of growing up”, “just having a laugh” or “boys being boys”; and
- challenging behaviours (potentially criminal in nature), such as grabbing bottoms, breasts and genitalia, flicking bras and lifting up skirts. Dismissing or tolerating such behaviours risks normalising them.

What is Sexual violence and sexual harassment?

Sexual violence

It is important that school and college staff are aware of sexual violence and the fact children can, and sometimes do, abuse their peers in this way. When referring to sexual violence we are referring to sexual offences under the Sexual Offences Act 2003¹⁰⁵ as described below:

Rape: A person (A) commits an offence of rape if: he intentionally penetrates the vagina, anus or mouth of another person (B) with his penis, B does not consent to the penetration and A does not reasonably believe that B consents.

Assault by Penetration: A person (A) commits an offence if: s/he intentionally penetrates the vagina or anus of another person (B) with a part of her/his body or anything else, the penetration is sexual, B does not consent to the penetration and A does not reasonably believe that B consents.

Sexual Assault: A person (A) commits an offence of sexual assault if: s/he intentionally touches another person (B), the touching is sexual, B does not consent to the touching and A does not reasonably believe that B consents.

¹⁰⁵ [Legislation.gov.uk](https://www.legislation.gov.uk)

What is consent?¹⁰⁶ Consent is about having the freedom and capacity to choose. Consent to sexual activity may be given to one sort of sexual activity but not another, e.g. to vaginal but not anal sex or penetration with conditions, such as wearing a condom. Consent can be withdrawn at any time during sexual activity and each time activity occurs. Someone consents to vaginal, anal or oral penetration only if s/he agrees by choice to that penetration and has the freedom and capacity to make that choice.¹⁰⁷

Sexual harassment

When referring to sexual harassment we mean 'unwanted conduct of a sexual nature' that can occur online and offline. When we reference sexual harassment, we do so in the context of child on child sexual harassment. Sexual harassment is likely to: violate a child's dignity, and/or make them feel intimidated, degraded or humiliated and/or create a hostile, offensive or sexualised environment.

Whilst not intended to be an exhaustive list, sexual harassment can include:

- sexual comments, such as: telling sexual stories, making lewd comments, making sexual remarks about clothes and appearance and calling someone sexualised names;
- sexual "jokes" or taunting;
- physical behaviour, such as: deliberately brushing against someone, interfering with someone's clothes (schools and colleges should be considering when any of this crosses a line into sexual violence - it is important to talk to and consider the experience of the victim) and displaying pictures, photos or drawings of a sexual nature; and
- online sexual harassment. This may be standalone, or part of a wider pattern of sexual harassment and/or sexual violence.¹⁰⁸ It may include:
 - non-consensual sharing of sexual images and videos;
 - sexualised online bullying;
 - unwanted sexual comments and messages, including, on social media; and
 - sexual exploitation; coercion and threats

The response to a report of sexual violence or sexual harassment

The initial response to a report from a child is important. It is essential that all victims are reassured that they are being taken seriously and that they will be supported and kept safe. A victim should never be given the impression that they are creating a problem by

¹⁰⁶ It is important school and college staff (and especially designated safeguarding leads and their deputies) understand consent. This will be especially important if a child is reporting they have been raped. More information: [here](#)

¹⁰⁷ [PSHE Teaching about consent](#) from the PSHE association provides advice and lesson plans to teach consent at Key stage 3 and 4.

¹⁰⁸ [Project deSHAME](#) from Childnet provides useful research, advice and resources regarding online sexual harassment.

reporting sexual violence or sexual harassment. Nor should a victim ever be made to feel ashamed for making a report.

If staff have a concern about a child or a child makes a report to them, they should follow the referral process as set out from paragraph 22 in Part one of this guidance. As is always the case, if staff are in any doubt as to what to do they should speak to the designated safeguarding lead (or a deputy).

Additional advice and support

Abuse or Safeguarding issue	Link to Guidance/Advice	Source
Abuse	What to do if you're worried a child is being abused	DfE advice
	Domestic abuse: Various Information/Guidance	Home Office
	Faith based abuse: National Action Plan	DfE advice
	Relationship abuse: disrespect nobody	Home Office website
Bullying	Preventing bullying including cyberbullying	DfE advice
Children and the courts	Advice for 5-11-year olds witnesses in criminal courts	MoJ advice
	Advice for 12-17 year old witnesses in criminal courts	MoJ advice
Children missing from education, home or care	Children missing education	DfE statutory guidance
	Child missing from home or care	DfE statutory guidance
	Children and adults missing strategy	Home Office strategy
Children with family members in prison	National Information Centre on Children of Offenders	Barnardo's in partnership with Her Majesty's Prison and Probation Service (HMPPS) advice
Child Exploitation	County Lines: criminal exploitation of children and vulnerable adults	Home Office guidance
	Child sexual exploitation: guide for practitioners	DfE
	Trafficking: safeguarding children	DfE and HO guidance
Drugs	Drugs: advice for schools	DfE and ACPO advice
	Drug strategy 2017	Home Office strategy
	Information and advice on drugs	Talk to Frank website

Abuse or Safeguarding issue	Link to Guidance/Advice	Source
	ADEPIS platform sharing information and resources for schools: covering drug (& alcohol) prevention	Website developed by Mentor UK
“Honour Based Violence” (so called)	Female genital mutilation: information and resources	Home Office
	Female genital mutilation: multi agency statutory guidance	DfE, DH, and HO statutory guidance
	Forced marriage: information and practice guidelines	Foreign Commonwealth Office and Home Office
Health and Well-being	Fabricated or induced illness: safeguarding children	DfE, Department for Health and Home Office
	Rise Above: Free PSHE resources on health, wellbeing and resilience	Public Health England resources
	Medical-conditions: supporting pupils at school	DfE statutory guidance
	Mental health and behaviour	DfE advice
Homelessness	Homelessness: How local authorities should exercise their functions	HCLG
Online	Sexting: responding to incidents and safeguarding children	UK Council for Child Internet Safety
Private fostering	Private fostering: local authorities	DfE - statutory guidance
Radicalisation	Prevent duty guidance	Home Office guidance
	Prevent duty advice for schools	DfE advice
	Educate Against Hate Website	DfE and Home Office
Violence	Gangs and youth violence: for schools and colleges	Home Office advice
	Ending violence against women and girls 2016-2020 strategy	Home Office strategy
	Violence against women and girls: national statement of expectations for victims	Home Office guidance
	Sexual violence and sexual harassment between children in schools and colleges	DfE advice
	Serious violence strategy	Home Office Strategy

Annex B: Role of the designated safeguarding lead

Governing bodies, proprietors and management committees should ensure an appropriate **senior member** of staff, from the school or college **leadership team**, is appointed to the role of designated safeguarding lead.¹⁰⁹ The designated safeguarding lead should take **lead responsibility** for safeguarding and child protection (including online safety). This should be explicit in the role holder's job description. This person should have the appropriate status and authority within the school to carry out the duties of the post. They should be given the time, funding, training, resources and support to provide advice and support to other staff on child welfare and child protection matters, to take part in strategy discussions and inter-agency meetings, and/or to support other staff to do so, and to contribute to the assessment of children.

Deputy designated safeguarding leads

It is a matter for individual schools and colleges as to whether they choose to have one or more deputy designated safeguarding leads. Any deputies should be trained to the same standard as the designated safeguarding lead and the role should be explicit in their job description. Whilst the activities of the designated safeguarding lead can be delegated to appropriately trained deputies, the ultimate **lead responsibility** for child protection, as set out above, remains with the designated safeguarding lead, this **lead responsibility** should not be delegated.

Manage referrals

The designated safeguarding lead is expected to:

- refer cases of suspected abuse to the local authority children's social care as required;
- support staff who make referrals to local authority children's social care;
- refer cases to the Channel programme where there is a radicalisation concern as required;
- support staff who make referrals to the Channel programme;

¹⁰⁹ When a school has a sole proprietor rather than a governing body, appropriate steps should be taken to ensure that the member of the senior leadership team who is appointed as designated safeguarding lead (DSL) is able to discharge that role with sufficient independence, particularly in relation to any allegations involving the proprietor or members of the proprietor's family. This may involve including in the appointment as DSL, written confirmation that part of the duties of the post involve contacting the Local Authority Designated Officer on any matter that the DSL considers cannot be properly dealt with internally. Consideration could also be given to providing the DSL with access to external advice from an appropriate company or legal service.

- refer cases where a person is dismissed or left due to risk/harm to a child to the Disclosure and Barring Service as required; and
- refer cases where a crime may have been committed to the Police as required.

Work with others

The designated safeguarding lead is expected to:

- act as a point of contact with the three safeguarding partners;
- liaise with the headteacher or principal to inform him or her of issues- especially ongoing enquiries under section 47 of the Children Act 1989 and police investigations;
- as required, liaise with the “case manager” (as per Part four) and the designated officer(s) at the local authority for child protection concerns in cases which concern a staff member;
- liaise with staff (especially pastoral support staff, school nurses, IT Technicians, and SENCOs or the named person with oversight for SEN in a college) on matters of safety and safeguarding (including online and digital safety) and when deciding whether to make a referral by liaising with relevant agencies; and
- act as a source of support, advice and expertise for all staff.

Training

The designated safeguarding lead (and any deputies) should undergo training to provide them with the knowledge and skills required to carry out the role. This training should be updated at least every two years. The designated safeguarding lead should undertake Prevent awareness training.

In addition to the formal training set out above, their knowledge and skills should be refreshed (this might be via e-bulletins, meeting other designated safeguarding leads, or simply taking time to read and digest safeguarding developments) at regular intervals, as required, and at least annually, to allow them to understand and keep up with any developments relevant to their role so they:

- understand the assessment process for providing early help and statutory intervention, including local criteria for action and local authority children’s social care referral arrangements.¹¹⁰

¹¹⁰ Full details in Chapter one of [Working Together to Safeguard Children](#).

- have a working knowledge of how local authorities conduct a child protection case conference and a child protection review conference and be able to attend and contribute to these effectively when required to do so;
- ensure each member of staff has access to, and understands, the school's or college's child protection policy and procedures, especially new and part time staff;
- are alert to the specific needs of children in need, those with special educational needs and young carers;¹¹¹
- understand relevant data protection legislation and regulations, especially the Data Protection Act 2018 and the General Data Protection Regulation.
- understand the importance of information sharing, both within the school and college, and with the three safeguarding partners, other agencies, organisations and practitioners.
- are able to keep detailed, accurate, secure written records of concerns and referrals;
- understand and support the school or college with regards to the requirements of the Prevent duty and are able to provide advice and support to staff on protecting children from the risk of radicalisation;
- are able to understand the unique risks associated with online safety and be confident that they have the relevant knowledge and up to date capability required to keep children safe whilst they are online at school or college;
- can recognise the additional risks that children with SEN and disabilities (SEND) face online, for example, from online bullying, grooming and radicalisation and are confident they have the capability to support SEND children to stay safe online;
- obtain access to resources and attend any relevant or refresher training courses; and
- encourage a culture of listening to children and taking account of their wishes and feelings, among all staff, in any measures the school or college may put in place to protect them.

Raise Awareness

The designated safeguarding lead should:

¹¹¹ Section 17(10) Children Act 1989: those unlikely to achieve a reasonable standard of health and development without local authority services, those whose health and development is likely to be significantly impaired without the provision of such services, or disabled children.

- ensure the school's or college's child protection policies are known, understood and used appropriately;
- ensure the school's or college's child protection policy is reviewed annually (as a minimum) and the procedures and implementation are updated and reviewed regularly, and work with governing bodies or proprietors regarding this;
- ensure the child protection policy is available publicly and parents are aware of the fact that referrals about suspected abuse or neglect may be made and the role of the school or college in this; and
- link with the safeguarding partner arrangements to make sure staff are aware of any training opportunities and the latest local policies on local safeguarding arrangements.

Child protection file

Where children leave the school or college the designated safeguarding lead should ensure their child protection file is transferred to the new school or college as soon as possible. This should be transferred separately from the main pupil file, ensuring secure transit, and confirmation of receipt should be obtained. Receiving schools and colleges should ensure key staff such as designated safeguarding leads and SENCOs or the named person with oversight for SEN in colleges, are aware as required.

In addition to the child protection file, the designated safeguarding lead should also consider if it would be appropriate to share any information with the new school or college in advance of a child leaving. For example, information that would allow the new school or college to continue supporting victims of abuse and have that support in place for when the child arrives.

Availability

During term time the designated safeguarding lead (or a deputy) should always be available (during school or college hours) for staff in the school or college to discuss any safeguarding concerns. Whilst generally speaking the designated safeguarding lead (or deputy) would be expected to be available in person, it is a matter for individual schools and colleges, working with the designated safeguarding lead, to define what "available" means and whether in exceptional circumstances availability via phone and or Skype or other such media is acceptable.

It is a matter for individual schools and colleges and the designated safeguarding lead to arrange adequate and appropriate cover arrangements for any out of hours/out of term activities.

Annex C: Online safety

The use of technology has become a significant component of many safeguarding issues. Child sexual exploitation; radicalisation; sexual predation: technology often provides the platform that facilitates harm. An effective approach to online safety empowers a school or college to protect and educate the whole school or college community in their use of technology and establishes mechanisms to identify, intervene in, and escalate any incident where appropriate.

The breadth of issues classified within online safety is considerable, but can be categorised into three areas of risk:

- **content:** being exposed to illegal, inappropriate or harmful material; for example pornography, fake news, racist or radical and extremist views;
- **contact:** being subjected to harmful online interaction with other users; for example commercial advertising as well as adults posing as children or young adults; and
- **conduct:** personal online behaviour that increases the likelihood of, or causes, harm; for example making, sending and receiving explicit images, or online bullying.

Education

Opportunities to teach safeguarding, including online safety, are discussed at paragraph 85-87. Resources that could support schools and colleges include:

- UKCCIS has recently published its [Education for a connected world framework](#). Online safety is a whole school and college issue. The framework aims to support the development of the curriculum and is of particular relevance to PSHE education and Computing. It is designed, however, to be usable across the curriculum and beyond and to be central to a whole school or college approach to safeguarding and online safety. It covers early years through to age 18.
- The PSHE Association provides guidance to schools on developing their PSHE curriculum – www.pshe-association.org.uk
- Parent Zone and Google have developed [Be Internet Legends](#) a free internet safety curriculum with PSHE accredited lesson plans and teaching resources for Key Stage 2 pupils.

Filters and monitoring

Governing bodies and proprietors should be doing all that they reasonably can to limit children's exposure to the above risks from the school's or college's IT system. As part

of this process, governing bodies and proprietors should ensure their school or college has appropriate filters and monitoring systems in place.

Whilst considering their responsibility to safeguard and promote the welfare of children, and provide them with a safe environment in which to learn, governing bodies and proprietors should consider the age range of their pupils, the number of pupils, how often they access the IT system and the proportionality of costs vs risks.

The appropriateness of any filters and monitoring systems are a matter for individual schools and colleges and will be informed in part, by the risk assessment required by the Prevent Duty.¹¹² The UK Safer Internet Centre has published guidance as to what “appropriate” filtering and monitoring might look like: [UK Safer Internet Centre: appropriate filtering and monitoring](#).

Guidance on e-security is available from the [National Education Network](#). Support for schools is available via the: [schools' buying strategy](#) with specific advice on procurement here: [buying for schools](#).

Whilst filtering and monitoring is an important part of the online safety picture for schools and colleges to consider, it is only one part. Governors and proprietors should consider a whole school or college approach to online safety. This will include a clear policy on the use of mobile technology in the school or college. Many children have unlimited and unrestricted access to the internet via 3G and 4G in particular and the school and college should carefully consider how this is managed on their premises.

Whilst it is essential that governing bodies and proprietors ensure that appropriate filters and monitoring systems are in place, they should be careful that “over blocking” does not lead to unreasonable restrictions as to what children can be taught with regard to online teaching and safeguarding.

Reviewing online safety

Technology in this area evolves and changes rapidly. A free online safety self-review tool for schools can be found via the [360 safe website](#). UKCCIS have recently published [Online safety in schools and colleges: Questions for the governing board](#)

Staff training

Governors and proprietors should ensure that, as part of the requirement for staff to undergo regularly updated safeguarding training (paragraph 81) and the requirement

¹¹² [The Prevent duty Departmental advice for schools and childcare providers](#) and [Prevent Duty Guidance For Further Education Institutions](#)

to ensure children are taught about safeguarding, including online safety (paragraph 85), that online safety training for staff is integrated, aligned and considered as part of the overarching safeguarding approach.

Information and support

There is a wealth of information available to support schools, colleges and parents to keep children safe online. The following list is not exhaustive but should provide a useful starting point:

Organisation/Resource	What it does/provides
thinkuknow	NCA CEOPs advice on online safety
disrespectnobody	Home Office advice on healthy relationships, including sexting and pornography
UK safer internet centre	Contains a specialist helpline for UK schools and colleges
swgfl	Includes a template for setting out online safety policies
internet matters	Help for parents on how to keep their children safe online
parentzone	Help for parents on how to keep their children safe online
childnet cyberbullying	Guidance for schools on cyberbullying
pshe association	Guidance and useful teaching resources covering online safety issues including pornography and the sharing of sexual images
educateagainsthate	Practical advice for parents, teachers and governors on protecting children from extremism and radicalisation.
the use of social media for online radicalisation	A briefing note for schools on how social media is used to encourage travel to Syria and Iraq
UKCCIS	The UK Council for Child Internet Safety's website provides: <ul style="list-style-type: none"> • Sexting advice • Online safety: Questions for Governing Bodies • Education for a connected world framework
NSPCC	NSPCC advice for schools and colleges
net-aware	NSPCC advice for parents
commonsensemedia	Independent reviews, age ratings, & other information about all types of media for children and their parents
searching screening and confiscation	Guidance to schools on searching children in schools and confiscating items such as mobile phones
lgfl	Advice and resources from the London Grid for Learning

Annex D: Boarding schools, residential special schools, residential colleges and children's homes

There are additional requirements for boarding schools, residential special schools, residential colleges and children's homes to consider with regards to safeguarding. These are set out in National Minimum Standards and regulations for the relevant setting. All schools and colleges that provide such residential accommodation and/or are registered as children's homes must comply with the relevant National Minimum Standards and/or regulations for their sector. Such schools and colleges should be particularly alert to the signs of abuse in such settings and work closely with the host local authority and, where relevant, any local authorities that have placed their children there. The relevant guidance for each sector is on GOV.UK and the relevant links are listed below:

- [The National Minimum Standards for Boarding Schools](#)
- [The National Minimum Standards for Residential Special Schools](#)
- [The National Minimum Standards for FE colleges which Accommodate under 18s](#)
- [Guide to the Children's Homes Regulations](#)

In addition, the Visits to Children in Long-Term Residential Care Regulations 2011¹¹³ apply to children and young people living away from home in residential settings for periods of 3 months or more (including those placed in residential schools and colleges). An appropriate representative from the accommodating Local Authority must visit these settings to ensure the welfare of these children.

¹¹³ www.legislation.gov.uk

Annex E: Host families - homestay during exchange visits

Schools and colleges often make arrangements for children to take part in exchange visits, either to other parts of the UK or abroad. Exchanges can benefit learning across a range of subjects. In particular, foreign visits can enrich the languages curriculum and provide exciting opportunities for pupils to develop their confidence and expertise in the use of other languages.

Schools and colleges have a duty to safeguard and promote children's welfare, as defined at paragraph 4. This extends to considering their safety and how best to minimise risk of harm to those children during any exchange visit the school or college arranges, and when organising for the care and accommodation of a child with a host family (known as homestays) as part of the exchange.

School/college arranged homestay – suitability of adults in UK host families

When arranging a homestay, schools should consider the suitability of the adults in the respective families who will be responsible for the visiting child during the stay.

In circumstances where a school or college arrange for a visiting child to be provided with care and accommodation in the UK (including where they engage a company to make those arrangements) in the home of a family to which the child is not related¹¹⁴ the responsible adults will be engaging in regulated activity for the period of the stay.¹¹⁵ In such cases and where the school or college has the power to terminate such a homestay the school or college would be the regulated activity provider.¹¹⁶

A regulated activity provider commits a criminal offence if it knows, or has reason to believe that, an individual is barred by the Disclosure and Barring Service (DBS) from engaging in regulated activity but allows that individual to carry out any form of regulated activity.¹¹⁷

Where the child's parent(s) or a student themselves arranges their own homestay, this would be a private arrangement¹¹⁸ therefore the school or college would not be the regulated activity provider.

¹¹⁴ This includes where a person has parental responsibility for the visiting child.

¹¹⁵ Paragraph 1(5) of Schedule 4 and Section 53 of the Safeguarding Vulnerable Groups Act 2006. Where an adult is providing homestay in circumstances other than as described in this section, the school or college should seek advice from the DBS about whether the individual will be in regulated activity.

¹¹⁶ Section 53(3) and (4) of the Safeguarding Vulnerable Groups Act 2006.

¹¹⁷ Section 9 of the Safeguarding Vulnerable Groups Act 2006.

¹¹⁸ Where it is a private arrangement, the school or college are not entitled to obtain a standard or enhanced DBS check.

When a school or college arrange a homestay, it should consider what intelligence/information will best inform its assessment of the suitability of the adults in those families who will be responsible for the visiting child during the stay. It will be for the school or college to use their professional judgement to decide what it considers what will be relevant. However, to help inform that assessment, schools and colleges should ¹¹⁹ obtain a DBS enhanced certificate with barred list information. This check will not only establish whether the adults are barred from engaging in regulated activity relating to children, but where criminal record information is disclosed it will also allow the school or college to consider, alongside all other intelligence that it has obtained, whether the adults would be a suitable host for a child.

DBS enhanced certificates with barred list information for volunteer roles¹²⁰ can be obtained free of charge¹²¹. In respect of an adult who provides UK homestay and receives no remuneration in respect of the stay or where schools reimburse families only for expenses incurred, to enable a DBS application to be considered as a volunteer role the 'Position Applied For' field will need to make clear that the position is unpaid.

In addition to those engaging in regulated activity, schools and colleges are free to decide whether they consider it necessary to obtain a DBS enhanced certificate in respect of anyone aged 16 or over in the household where the child will be staying.

Homestay – suitability of adults in host families abroad

It is not possible for schools and colleges to obtain criminality information from the DBS about adults who provide homestays abroad. Schools and colleges should liaise with partner schools abroad, to establish a shared understanding of, and agreement to the arrangements in place for the visit. They should use their professional judgement to satisfy themselves that the arrangements are appropriate and sufficient to safeguard effectively every child who will take part in the exchange. Parents should be aware of agreed arrangement. Schools and colleges are also free to decide whether they consider it necessary to contact the relevant foreign embassy or High Commission of the country in question to discuss what checks may be possible in respect of those providing homestay outside of the UK.

¹¹⁹ See page 3 for interpretation of 'should' used throughout the document.

¹²⁰ Volunteer is defined as "Any person engaged in an activity which involves spending time, unpaid (except for travel and other approved out-of-pocket expenses), doing something which aims to benefit some third party and not a close relative."

¹²¹ Some checking bodies will charge an admin fee to process a DBS certificate/barred list request. As these fees will vary, schools should assess what services are being offered and consider what is known about the performance and reputation of the organisation.

During the visit

Pupils should understand who to contact during a homestay should an emergency occur or a situation arise which makes them feel uncomfortable.

Additional action for extended homestays

Where a period of UK homestay lasts 28 days or more, for a child aged under 16 years of age (under 18 years of age if the child has disabilities), this may amount to private fostering under the Children Act 1989¹²². In these cases the school or college should notify the local authority of the arrangements. Private fostering legislation places a duty on local authorities to satisfy themselves that the welfare of a child who is being, or proposed to be, privately fostered in their area is being or will be satisfactorily safeguarded and promoted. By notifying the local authority, the school and college will be assisting the local authority in discharging its duty. See paragraphs 185-186 for additional information about private fostering and local authority notifications.

¹²² Private fostering occurs when a child under the age of 16 (under 18, if disabled) is provided with care and accommodation by a person who is not a parent, person with parental responsibility for them or a relative in their own home. A child is not privately fostered if the person caring for and accommodating them has done so for less than 28 days and does not intend to do so for longer.

Annex F: Statutory guidance - Regulated activity (children) - Supervision of activity with children which is regulated activity when unsupervised

This statutory guidance on the supervision of activity with children, which is regulated activity when unsupervised, is also published separately on [GOV.UK](https://www.gov.uk).

1. This document fulfils the duty in legislation ⁱ that the Secretary of State must publish statutory guidance on supervision of activity by workers with children, which when unsupervised is regulated activity. This guidance applies in England, Wales and Northern Ireland. It covers settings including but not limited to schools, childcare establishments, colleges, youth groups and sports clubs.
2. For too long child protection policy has been developed in haste and in response to individual tragedies, with the well intentioned though misguided belief that every risk could be mitigated and every loophole closed. The pressure has been to prescribe and legislate more. This has led to public confusion, a fearful workforce and a dysfunctional culture of mistrust between children and adults. This Government is taking a different approach.
3. We start with a presumption of trust and confidence in those who work with children, and the good sense and judgment of their managers. This guidance applies when an organisation decides to supervise with the aim that the supervised work will not be regulated activity (when it would be, if not so supervised). In such a case, the law makes three main points:
 - there must be supervision by a person who is in regulated activity ⁱⁱⁱ
 - the supervision must be regular and day to day; and
 - the supervision must be “reasonable in all the circumstances to ensure the protection of children”.

The organisation must have regard to this guidance. This gives local managers the flexibility to determine what is reasonable for their circumstances. While the precise nature and level of supervision will vary from case to case, guidance on the main legal points above is as follow.

4. Supervision by a person in regulated activity/regular and day to day: supervisors must be in regulated activity themselves ^{iv}. The duty that supervision must take place “on a regular basis” means that supervision must not, for example, be concentrated during the first few weeks of an activity and then tail off thereafter, becoming the exception not the rule. It must take place on an ongoing basis, whether the worker has just started or has been doing the activity for some time.
5. Reasonable in the circumstances: within the statutory duty, the level of supervision

may differ, depending on all the circumstances of a case. Organisations should consider the following factors in deciding the specific level of supervision a person will require:

- ages of the children, including whether their ages differ widely;
 - number of children that the individual is working with;
 - whether or not other workers are helping to look after the children;
 - the nature of the individual's work (or, in a specified place such as a school, the individual's opportunity for contact with children);
 - how vulnerable the children are (the more they are, the more an organisation might opt for workers to be in regulated activity);
 - how many workers would be supervised by each supervising worker.
6. An organisation is not entitled to request a barred list check on a worker who, because they are supervised, is not in regulated activity.

EXAMPLES

Volunteer, in a specified place

Mr Jones, a new volunteer, helps children with reading at a local school for two mornings a week. Mr Jones is generally based in the classroom, in sight of the teacher. Sometimes Mr Jones takes some of the children to a separate room to listen to them reading, where Mr Jones is supervised by a paid classroom assistant, who is in that room most of the time. The teacher and classroom assistant are in regulated activity. The headteacher decides supervision is such that Mr Jones is not in regulated activity.

Volunteer, not in a specified place

Mr Wood, a new entrant volunteer, assists with the coaching of children at his local cricket club. The children are divided into small groups, with assistant coaches such as Mr Wood assigned to each group. The head coach oversees the coaching, spends time with each of the groups, and has sight of all the groups (and the assistant coaches) for most of the time. The head coach is in regulated activity. The club's managers decide whether the coach's supervision is such that Mr Wood is not in regulated activity.

Employee, not in a specified place

Mrs Shah starts as a paid activity assistant at a youth club. She helps to instruct a group of children, and is supervised by the youth club leader who is in regulated

activity. The youth club's managers decide whether the leader's supervision is such that Mrs Shah is not in regulated activity.

In each example, the organisation uses the following steps when deciding whether a new worker will be supervised to such a level that the new worker is not in regulated activity:

- Consider whether the worker is doing work that, if unsupervised, would be regulated activity. (Note: If the worker is not engaging in regulated activity, the remaining steps are unnecessary. If the worker is engaging in regulated activity the remaining steps should be followed);
- consider whether the worker will be supervised by a person in regulated activity, and whether the supervision will be regular and day to day, bearing in mind paragraph 4 of this guidance;
- consider whether the supervision will be reasonable in all the circumstances to ensure the protection of children, bearing in mind the factors set out in paragraph 4 of this guidance above; and if it is a specified place such as a school; and
- consider whether the supervised worker is a volunteer v.

i Safeguarding Vulnerable Groups Act 2006, amended by Protection of Freedoms Act 2012: Schedule 4, paragraph 5A: guidance must be "for the purpose of assisting" organisations "in deciding whether supervision is of such a kind that" the supervisee is not in regulated activity.

ii Safeguarding Vulnerable Groups (Northern Ireland) Order 2007, Schedule 2, paragraph 5A, is as above on guidance on "supervision" for Northern Ireland.

iii If the work is in a specified place such as a school, paid workers remain in regulated activity even if supervised.

iv The Protection of Freedoms Act 2012 includes provisions for a statutory duty on an organisation arranging regulated activity (under the 2006 Act or 2007 Order, both as amended) to check that a person entering regulated activity is not barred from regulated activity and a stand-alone barring check. These are as yet not commenced.

v A volunteer is: in England and Wales, a person who performs an activity which involves spending time, unpaid (except for travel and other approved out-of-pocket expenses), doing something which aims to benefit someone (individuals or groups) other than or in addition to close relatives. In Northern Ireland, a volunteer is: a person engaged, or to be engaged, in an activity for a non-profit organisation or person which involves spending time unpaid (except for travel and other approved out-of-pocket expenses) doing something which amounts to a benefit to some third party other than, or in addition to, a close relative.

Annex G: Disclosure and Barring Service checks

These are the types of checks available to those working with children:

Type of check	What the check involves	Positions eligible for this level of check
Standard check	Check of the Police National Computer records of convictions, cautions, reprimands and warnings.	The position being applied for must be covered by an exempted question in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975.
Enhanced check	Check of the Police National Computer records plus additional information held by police such as interviews and allegations. Additional information will only be disclosed where a chief police officer reasonably believes it to be relevant and considers that it ought to be disclosed.	The position being applied for must be covered by an exempted question in the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and by provisions in the Police Act 1997 (Criminal Records) Regulations 2002.*
Enhanced criminal record check with children's and/or adult's barred list information	Check of the Police National Computer records plus additional information held by police plus check of the DBS Children's Barred List plus check of the DBS Adults' Barred List.	The position must be eligible for an enhanced level criminal record check as above and be for a purpose listed in the Police Act 1997 (Criminal Records) (No2) Regulations 2009 as qualifying for a barred list(s) check.

*This legislation does not provide a list of job roles that are eligible for this check – such a list does not exist. Instead, the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 sets out the 'exempted questions' for which a standard check can be obtained. Similarly, the Police Act 1997 (Criminal Records) Regulations 2002 set out the purposes for which an enhanced check can be obtained, and the Police Act 1997 (Criminal Records) (No 2) Regulations 2009 list the circumstances in which an enhanced check will automatically include a barred list check. It is important to note that the Regulations can also remove roles, duties or activities through the removal of an exempted question or of a particular purpose. The Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, the Police Act 1997 (Criminal Records) Regulations 2002 and the Police Act 1997 (Criminal Records) (No 2) Regulations 2009 can all be found on the [legislation website](#).

Any individual (including an applicant for a job which does not involve working with children) can be asked to apply for a basic criminal record check. This will show only unspent convictions and cautions. This service is currently provided via the Disclosure and Barring Service. Further details can be found on gov.uk

Annex H: Table of substantive changes from September 2016

Where	What
Whole of the document	<p>The guidance is amended throughout to make references to acronyms consistent and to correct minor typos e.g. missing punctuation.</p> <p>Throughout the guidance, we have amended references to The National College for Teaching and Leadership (NCTL) to reflect that from 1 April 2018, its functions in respect of the regulation of the teaching profession, including misconduct hearings, will be handled by the newly established Teaching Regulation Agency (TRA). The TRA is an executive agency of the Department for Education. All other NCTL functions are now handled by the Department for Education.</p> <p>The guidance is amended throughout to reflect Working Together to Safeguard Children 2018. Substantive changes in relation to Working Together are reflected below.</p>
Summary	
Page 3 – What is the status of this guidance	Duplicated the definition of children (that was already in Part one of Keeping Children Safe in Education 2016) to make clear, up front, what we mean by “children”.
Page 3 - About this guidance	<p>Provided additional context on the use of “must” and “should”.</p> <p>Updated the definition of colleges to reflect “designated institutions”.</p>
Page 4- Who this guidance is for	Moved the footnote about academy trusts into the main body of the guidance. This clarifies that for the purposes of Keeping Children Safe in Education, in the case of academies, free schools and alternative provision academies, the proprietor is the academy trust.
Page 4	New section explaining the multi-agency safeguarding transitional arrangements.
Part one	
Paragraph 10	New paragraph explaining the complete safeguarding picture DSLs and their deputies are likely to have.
Paragraph 12	<p>Included “behaviour policy” in the list.</p> <p>Included “safeguarding response to children missing education” in the list.</p> <p>Made clear that information about the role of the DSL should include, the identity of the DSL and any deputies.</p>

Paragraph 15	Removed detailed information from one of the two footnotes and combined into one simple footnote. Feedback suggested the original level of information is too much for Part one. However, cross-reference to detailed information remains.
Paragraph 17	Provided additional information on early help.
Paragraphs 22-33	Paragraph 22 is updated to reflect concerns about a child's welfare should be acted on immediately. Paragraph 23 is updated to reflect the importance of speaking to the DSL and following the local child protection policy. Paragraph 24 has been expanded to clarify the options for action when staff have concerns. Paragraph 26 explains the importance of information sharing and reflects Data Protection Act 2018 and GDPR. Paragraph 27 makes clear that generally the DSL takes the lead on early help cases. Paragraph 30 provides more information on what to expect from the local authority.
Paragraph 34	Updated to reflect the fact all staff should raise any FGM related concerns with the DSL (or deputy) and then making the link to the legal requirement on teachers . Also updated footnote to make it easier to read.
Page 13	Updated table to reflect changes elsewhere in Part one.
Paragraph 48	Updated to reflect sexual violence and sexual harassment.
Paragraph 50	New paragraph to provide information on contextual safeguarding.
Additional Advice and Support	The links to Additional Advice and Support have been moved into Annex A.
Part two	
Paragraph 53	Updated to make clear the Board level leadership lead should sit at governing body or proprietor level.
Paragraph 55 Child Protection Policy	Updated to make clear that all schools and colleges should have their own individual child protection policy. This is important, as it will reflect local circumstances. This does not stop a proprietor of multiple schools from having an overarching child protection policy. We would simply expect that this overarching policy will be built on locally to ensure local procedures and protocols can be reflected. Moved the old paragraph 49 into this paragraph to bring the child protection information together in one place.
Paragraph 55 Children Missing Education	New paragraph to reflect that where reasonably possible schools and colleges should hold more than one emergency contact number for their pupils and students. Moved the old paragraph 51 into this paragraph to bring the children missing education information together in one place.

Paragraph 59	To be clear the important thing is the designated safeguarding lead is a senior member of staff and is from the school or colleges leadership team. Who actually appoints them is a matter for the governing body or proprietor.
Paragraphs 66-70	Updated to reflect the new three safeguarding partner arrangements and the role schools and colleges will be asked to play in them.
Paragraphs 72-78	Updated to reflect the Data Protection Act 2018 and GDPR and the importance of governing bodies, proprietors and their staff being aware of their obligations.
Paragraph 79	Reflected the designated safeguarding lead responsibilities with regard to the child protection file. This is already set out in Annex B but it deserves prominence in the main body of the guidance.
Paragraph 80	New paragraph to reflect the fact the DSL should be considering information sharing in advance of transferring the child protection file.
Paragraph 85	Reordered the wording to improve readability and have added the word “safety”. This addition is to make clear that “safeguarding” includes “online safety”.
Paragraph 90	Revised to clarify that at least one of the persons who conducts an interview has completed safer recruitment training.
Paragraph 95	Updated to reflect the importance of school and college child protection policies reflecting peer on peer abuse. Updated to cross refer to the new Part 5.
Paragraph 100	New paragraph taking into account previously looked after children, highlighting the fact that they remain vulnerable and the importance of agencies working together to safeguard them.
Paragraph 101-102	Updated to reflect Children and Social Work Act 2017.
Paragraph 103-105	Updated to reflect Children and Social Work Act 2017.
Paragraph 106	New paragraph reflecting care leavers.
Paragraphs 108-110	New paragraphs reflecting reasonable force.
Part three	
Paragraph 112	Revised the wording of to make direct reference to prohibitions, directions, sanctions and restrictions.
Paragraph 115	Moved the position of the reference to Annex F to improve readability. Technical change to wording to explain the term ‘supervision’ in the context of regulated activity.
Paragraph 116	Amended footnote 42 to reflect changes to college Conditions of Funding Agreements that, before employing a person to carry out teaching work in relation to children, require colleges to take reasonable steps to establish whether that person is subject to a prohibition order made under section 141B of the Education Act 2002.

Regulated Activity shaded box page 31	Clarified the position on personal care.
Paragraph 118	Amended paragraph to clarify when to check if a person they propose to recruit as a governor is barred as a result of being subject to a section 128 direction.
Paragraphs 122-127	Amended footnote 49 to reflect the requirements on colleges that before employing a person to carry out teaching work in relation to children, they are required to take reasonable steps to establish whether that person is subject to a prohibition order and prevent the employment or engagement of any person who is subject to a prohibition order in such a role. New heading inserted. Paragraphs in this section have been relocated from elsewhere in document and additional information inserted to bring all information together, and provide clarity about, prohibitions, sanctions and restrictions.
Paragraph 128	Added new paragraph to reflect previous GTCE sanctions.
Paragraph 130	New paragraph, which includes text from previous footnote 38 into main body of text to explain the use of the Teacher Services system. New footnote 54 is inserted to explain the Teacher Services system can also be used to verify qualified teacher status (QTS) and the completion of teacher induction and teacher probation periods.
Paragraph 131	New paragraph inserted to explain the circumstances in which section 128 management barring information be included on a DBS certificate.
Paragraph 134	Addition to bullet 7 information to advise that the Teacher Services system should be used to verify any award of Qualified Teacher Status and the completion of teacher induction or probation periods.
Footnote 57	Inserted to reflect the requirement in the FE sector.
Second last Bullet in para 134	Text amended to clarify the duty on schools to confirm that a person appointed to carry out teaching work is not prohibited from doing so, and to cross reference to footnote 50 which confirms requirements for checking teacher prohibitions in colleges. Additional footnote (60) provides the definition of 'teaching work' that applies in the context of this paragraph.
Paragraph 136	Amended to reflect accurately the wording of regulations and to add clarity. There has been no change to policy.
Page 39 - Flowchart	A revised flowchart has been inserted to make the information about checks for contractors consistent with the information contained in the body of the guidance.
Paragraphs 139-142	Provided further context about the information schools should consider when seeking and obtaining references. A link to the Advisory, Conciliation and Arbitration Service (ACAS) website has been added to signpost to additional information about references.

	Amended to clarify that where any information about past disciplinary action or allegations is disclosed it should be considered as part of the suitability assessment.
Paragraph 143-149	Clarified the minimum information that must be recorded on the SCR. Additional advice has been added to: clarify the option to use the SCR to record other non-statutory information; the requirements for multi-academy trusts; that in the case of an academy, a proprietor means the members and trustees of the academy trust; and the format of the SCR. Included reference to agency and third party supply staff.
Paragraph 143	Amended to cross reference paragraphs 152 and 154, which provide additional detail about recording supply staff and trainee teacher checks.
Paragraph 144	The addition of a link to Government guidelines on checking an employee's identification. Additional information included to reflect the requirements for recording recruitment information in colleges.
Footnote 64	New footnote to explain that colleges funding agreements require robust record keeping procedures to be in place.
Paragraph 145	Amended to clarify the paragraph applies equally to colleges, agency and third party supply staff.
Paragraph 147	Technical change to clarify that MATs should ensure the information on the SCR for their trust is recorded in such a way that information for individual academies can be provided to those entitled to inspect it.
Paragraph 148	Links have been inserted to each of the relevant regulations.
Paragraphs 150	Moved the reference to the Home Office guidance from paragraph below to this paragraph.
Paragraph 155	In respect of fee-funded ITT trainees, clarified that the school or college should obtain written confirmation from the provider that it (the provider) has carried out all pre-appointment checks that the school or college would otherwise be required to perform.
Paragraph 156	Amended to clarify when colleges are required to carry out suitability checks where a member of staff moves position within the establishment.
Paragraph 157	Added paragraph number as this section of text not previously shown as a numbered paragraph. Also revises the original text, providing clarification that ensures schools are clear that they must refer to the DBS when an individual is suspended or moved out of regulated activity to another post, if they meet the 'harm' criteria.
Paragraph 163	Provided a link that signposts the DBS workforce guides. This is to assist schools and colleges to identify whether the position they are recruiting into fits the 'child workforce' criteria, used when completing the "Position Applied For" field on a DBS application form and which allows a children's barred list check to be requested.

Paragraph 164	Revised and footnote 72 added to remind schools and colleges to record risk assessments.
Paragraph 165	Revised text to signpost to guidance to be used by schools and colleges when determining when a volunteer should be supervised.
Paragraph 169	Heading now clarifies that this includes proprietors of alternative provision. To clarify in respect of colleges and schools, other than maintained schools, when DBS certificates can/should be obtained for governors.
Paragraph 171	To clarify that this includes a governing body in an academy or free school.
Paragraph 172	Provided clarification for academy trusts about the requirement to carry out checks for section 128 directions, which prohibit or restrict a person from taking part in the management of an independent school (including academies and free schools) and DBS checks.
Footnote 84	Confirms the circumstances in which DBS certificates can be obtained in respect of a contractor who is working in a college.
Paragraph 178	New information clarifying the responsibility on schools when working with alternative provision providers.
Paragraph 179-183	Minor drafting clarifications.
Paragraph 184	Amended to introduce the term “homestay”.
Paragraph 185-186	Paragraphs moved from Annex E and amended to clarify that staff and volunteers should remain alert to, and, when it comes to their attention report to the local authority, information which suggests a child is being privately fostered.
Part four	
Paragraph 188	An additional footnote 90 has been added to provide a link to Disclosure and Barring Service website explanation of the ‘harm test’. The 3 rd bullet in this paragraph is amended to replace ‘would’ with ‘may’, providing consistency with the terminology within ‘Working Together to Safeguard Children’ statutory guidance Added ‘volunteers’ to this paragraph to make clear this part of the guidance is also applicable to them.
Paragraph 193	In response to feedback, we have moved the term ‘unfounded’ from a footnote back into the main text.
Paragraph 196	Signposted to footnote on more information on strategy discussion and a paragraph that provides further information about suspensions.
Paragraph 206	This revision clarifies that reporting restrictions apply only to teachers in schools.
Paragraph 208	Updated link.

Paragraph 215	Update to make schools and colleges aware that in addition to the general guidance with regard to record retention, the IICSA have provided their own advice (which is linked).
Paragraph 217	Now provides signposts to paragraphs that provide information about references.
Paragraph 219	Corrects a typo; replaces 'institute' with 'instigate'.
Paragraph 223	Inserted 'children's social care' because where the allegation is about the welfare of a child then 'children's social care' should be contacted directly.
Paragraph 224	Clarifying the duties of sixth form colleges where they are made aware that an interim teacher prohibition order has been imposed on an individual who is working at the establishment.
Paragraph 234	Amended to clarify the paragraph applies equally to sixth form colleges.
Part 5	
Paragraphs 240-262	New Part 5 to provide guidance for schools and colleges on how they should respond to reports of child on child sexual violence and sexual harassment.
Annex A	<p>Included new introduction Included table of contents</p> <ul style="list-style-type: none"> • Children Missing Education: Removed child missing education advice that duplicated departmental advice and focused on what staff should be considering when a child is missing from education. • Children and the court system- new information • Children with family members in prison- new information • County Lines- new information • Domestic abuse- new information • Homelessness- new information • HBV- additional context • Preventing radicalisation- redrafted to focus on what staff should be doing and considering rather than the more general school or college response which is covered in other guidance • Peer on peer abuse- new information • Sexual violence and sexual harassment- new information <p>Links to additional advice and support moved from Part one and updated with new links</p>
Annex B	<p>New footnote 109 includes considerations for sole proprietors to ensure their designated safeguarding lead is a suitable person for the role. Added online safety and SEND as considerations when training designated safeguarding leads. This reflects the importance of these two areas as set out in Part two of the guidance.</p>

	Also bringing deputy DSL in line with DSL and setting out that the role should be explicit in any job description. Child protection file updated to reflect paragraph 79-80
Annex C	Updated to provide more information and links to additional support included.
Annex D	Added reference to the Visits to Children in Long-term Residential Care Regulation 2011, as it applies to schools and colleges.
Annex E	In response to stakeholder feedback, revised this Annex to provide clarity on obtaining DBS checks for UK host families who provide homestay to pupils during exchange visits.
Annex G	Updated footnote to reflect DBS now provide this service and not Disclosure Scotland.



Department
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