

Minority Ethnic Exclusions and the Race Relations (Amendment) Act 2000

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Canterbury Christ Church University College

**Research Report
No 616**

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(Amendment) Act 2000***

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A study over a two year period requiring the revisiting of schools and LEAs builds up debts to numerous individuals and organisations. The project was intrusive and the focus sensitive and the team is most grateful to those school staff who tolerated our demands for data and time and managed to provide the information – twice. The teachers, schools, school governors, LEA officers and community groups cannot be named because of confidentiality guarantees, but we acknowledge that we took time from their core business and we hope this report recognises their contribution and has a beneficial impact on debate and action in relation to minority ethnic exclusions.

We have interviewed parents and pupils. We thank them for their time. A number of them have asked to be informed about the report and where it may be accessed; it is gratifying when that breadth of interest is shown. We hope we have done justice to their perspectives. Colleagues at Canterbury Christ Church University College have been supportive and the DfES steering group has been wise and positive in fulfilling its role.

We honour the memory of Stephen Lawrence who was murdered on 22 April, 1993 on the corner of Dickson Road and Well Hall Road in London SE9. His death led eventually to searching enquiries about the performance of public services in relation to minority ethnic communities. Our goal has been to contribute to the understanding of the movement towards a more open, equitable and just society rejoicing in diversity.

Project team:

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Glossary

BEST	Behaviour and Education Support Team
BIP	Behaviour Improvement Programme
CRE	Commission for Racial Equality
DfES	Department for Education and Skills
EAZ	Education Action Zone
EiC	Excellence in Cities
EMAG	Ethnic Minority Achievement Grant
FSM	Free School Meals
LEA	Local Education Authority
LIG	Leadership Incentive Grant
LSU	Learning Support Unit
Ofsted	Office for Standards in Education
PLASC	Pupil Level Annual School Census
PRF	Pupil Retention Fund
PSP	Pastoral Support Programme
UPN	Unique Pupil Number

The Race Relations Act 1976 (Statutory Duties) made it unlawful to treat a person less favourably than others on racial grounds.

The Macpherson Report (1999), written in response to the Stephen Lawrence murder, made 70 proposals to address ‘institutionally racist’ public services including, for education, amending the National Curriculum to value cultural diversity and prevent racism; prevent and address racism; Ofsted inspections to examine the implementation of such strategies.

The Race Relations (Amendment) Act 2000 (RRAA) amended the 1976 Race Relations Act and fulfilled the recommendations of the Macpherson report. Chapter 34 71 (1) states the general duty of public authorities to have ‘due regard to the need: (a) to eliminate unlawful racial discrimination; and (b) to promote equality of opportunity and good relations between persons of different racial groups’.

Article 3 (1), (2), (3) and (5) place specific duties on governing bodies of schools to ‘(1) (a) prepare a written statement of its policy for promoting race equality (REP) ... and (b) .. have in place arrangements for fulfilling its duties; (2) (a) maintain .. the statement, and (b) fulfil duties in accordance with such arrangements; (3) (a) assess the impact of its policies ... on pupils, staff and parents of different racial groups, including, in particular, the impact on the attainment levels of such pupils; and (b) monitor .. such impact.’

Learning for All - Standards for Racial Equality in Schools (CRE, 2000) sets out seven standards related to the promotion of racial equality, each standard linked to a section in the OFSTED inspection framework; with an accompanying computer disk, it provides a framework for race impact analysis.

The statutory code of practice and non-statutory guides for public authorities (CRE, 2002a-e) sets out the requirements of the RRAA and offer interpretation and guidance.

The duty to promote race equality: a guide for schools (Non-statutory) (CRE, 2002e) does not have legal standing. It advises on the general and specific duties, policy and monitoring.

Race equality impact assessment (REIA): a step-by-step guide CRE (2004) [www.cre.gov.uk/duty/reia/index.html] provides guidance on gathering and processing data on outcomes related to minority ethnic groups.

Minority Ethnic Exclusions and the Race Relations (Amendment) Act 2000 - Final Report

EXECUTIVE SUMMARY

Introduction

The disproportionate exclusion of minority ethnic pupils has been a local and national concern for some years. Black Caribbean pupils are just over three times as likely as White pupils to be permanently excluded from school, with those from Other Black backgrounds (i.e. neither Black African nor Caribbean) excluded at only slightly lower rates.

A research project was commissioned by the Department for Education and Skills (DfES) with the aim of investigating LEAs' and schools' responses to the requirements of the Race Relations (Amendment) Act 2000 (RRAA) in relation to their minority ethnic pupils and exclusion practices. The Act placed duties on organisations, as from April 2002, to examine their practices and consider adjusting them if they had negative effects on minority ethnic groups.

This study was conducted over two years from September 2002. It drew on evidence from national exclusions data, a wide range of official documentation and data from visits to 85 secondary, primary and special schools and Pupil Referral Units (PRUs) in England. The study focused on exclusions of Black pupils.

Key Findings

- The disproportionality in rates of permanent exclusion for minority ethnic pupils, particularly Black Caribbean pupils and those from other Black backgrounds, has fallen considerably over the last six years. However, Black Caribbean pupils are still excluded at just over three times the rate of White pupils and those from Other Black Backgrounds at 2.7 times the rate of White pupils.
- There is considerable variation in exclusion rates between different LEAs and within LEAs. A quarter of the difference between Black Caribbean permanent exclusion rates and the rates for other pupils is associated with differences between schools (e.g. variation in free school meals and special educational needs rates, factors also strongly associated with exclusion rates) and cannot be attributed to differential treatment of, or outcomes for, Black Caribbean and other pupils within the same individual school.
- By controlling for this variation, an 'adjusted' exclusion rate can be calculated: within an average secondary school, a Black Caribbean pupil is 2.6 times as likely to be permanently excluded as another pupil. The corresponding disproportionality for pupils of Other Black Backgrounds is 2.2.
- Other groups more likely to receive permanent exclusions are: Travellers of Irish Heritage, Gypsy/Roma, Mixed White and Black Caribbean, Mixed White and Black African, and pupils of Other Mixed Background (i.e. not Mixed White and Asian).
- Despite a considerable quantity of literature from the Commission for Racial Equality (CRE) and DfES, this documentation seems not to be having a sufficient impact on the schools and LEAs studied. Ofsted school inspections rarely comment on disproportionality in exclusions.
- In a significant minority of secondary, primary, special schools and PRUs it would appear that the general and specific duties of the RRAA are not being fully met.
- However, there were also many examples of good practice in this area, and twenty percent of

the secondary school sample were judged to be making progress in implementing comprehensively the RRAA in relation to minority ethnic exclusions.

- LEAs and schools, by their policy and practice, do make a difference. LEA documentation and training can keep race equality in a prominent place on the school improvement agenda. Some LEAs had set targets for the reduction of exclusions overall and for minority ethnic exclusions. At school level, it was reported that a range of practices and interventions supported fulfilment of the schools' race equality duties.

It is concluded that, where schools were not implementing the duties of the RRAA, the disproportionalities in exclusions by ethnic group should be considered institutionally racist outcomes¹. These appear to be routinely and repeatedly reproduced as a matter of organisational practice as evidenced by these schools' poor awareness of the issues, relatively poor assessment and monitoring of policies and the limited range of targeted, positive action in response to monitoring.

Background to the Race Relations (Amendment) Act 2000

The research aimed to investigate the impact of the RRAA on disproportionate exclusions of some minority ethnic groups. Institutional racism was defined in the Macpherson report (1999), and identified as potentially operative in a wide range of institutions. To combat this, the RRAA (Section 71.1) imposes a *general duty* on public authorities 'to have due regard to the need:

- a) to eliminate unlawful racial discrimination; and
- b) to promote equality of opportunity and good relations between persons of different racial groups'. (CRE, 2002a: 15).

The Commission for Racial Equality (CRE) guidance states that, 'Public authorities .. must make race equality a central part of their functions (such as planning, policy making, service delivery, regulation, inspection, enforcement and employment)' (CRE, 2002a: 15).

The Statutory Instrument, 2001 (No. 3458), in that part concerned exclusively with education, places *specific duties* on governing bodies of schools, by 31 May 2002, to:

- (1) (a) prepare a written statement of its policy for promoting race equality,
(b) have in place arrangements for fulfilling ... its duties.
- (2) Such a body shall,
 - (a) maintain a copy of the statement, and
 - (b) fulfil those duties in accordance with such arrangements.
- (3) It shall be the duty of such a body to,
 - (a) assess the impact of its policies, including its race equality policy, on pupils, staff and parents of different racial groups including, in particular, their impact on the attainment levels of such pupils; and
 - (b) monitor, by reference to their impact on such pupils, staff and parents, the operation of such policies including, in particular, their impact on the attainment levels of such pupils.
- (5) Such a body shall take such steps as are reasonably practicable to publish annually the results of its monitoring' (H M Government, 2001, para 3).

¹ Defined in McPherson Report (1999) as "*the collective failure of an organisation to provide an appropriate and professional service to people because of their colour, culture or ethnic origin*"

It is, therefore, *mandatory* that schools should have a written race equality policy. Schools are advised that:

‘a good policy would:

- a. be part of the school’s development plan;
- b. give details of how the school will put the policy into practice and assess how effective it is;
- c. clearly define roles and responsibilities so that people know what is expected of them; and
- d. explain clearly what the school will do if the policy is not followed’ (CRE, 2002a: 37)

Schools are further advised that the policy should deal with the main areas relevant to promoting the general duty of the Act. Eleven areas are suggested, including, ‘pupil behaviour, discipline and exclusion’ (CRE, 2002a: 38). Appendix 1 of the CRE’s *A Guide for Schools* gives three pages of suggestions and examples on building race equality into other policies.

The importance of an action plan is made clear in *A Guide for Schools* to ensure the race equality policy is maintained and fulfilled, even if not a stated requirement. The *Guide for Schools* states, ‘We suggest that you link your race equality policy to an action plan ...The action plan could be part of your strategic plan’ (CRE, 2002e: 14).

Key to assessing and monitoring policies is action to gather and process data and much guidance on this is given in the *Learning for All* publication, (CRE, 2000). *Ethnic Monitoring* (CRE, 2002c) similarly offers advice, but more recently a race equality impact assessment is proposed as an important process, ‘a way of systematically and thoroughly assessing, and consulting on, the effects that a proposed policy is likely to have on people, depending on their racial group’ (CRE, 2004). Without an action plan and systematic and quantitative monitoring it is difficult to see how schools can properly meet their specific duties under the Act, even if these are advisory not mandatory.

What it means to *assess and monitor the impact of its policies* on pupils alone is described in detail in a range of publications (CRE, 2000, 2002a, b, c, d, e, 2004) and the extent to which this takes place in practice is a central question in this study.

Research Objectives

The objectives of this research were to:

1. map patterns of minority ethnic exclusions in all maintained schools in England;
2. examine the measures taken under the RRAA to reduce the disproportionate levels of minority ethnic exclusions and to highlight examples of good practice;
3. inform future policy on exclusion with a particular emphasis on Black and minority ethnic exclusions.

Methodology

Two annual sets of permanent exclusions data from the Pupil Level Annual School Census (PLASC) were analysed. Visits were made to a selected sample of 50 (40 were revisited in year 2) secondary schools, 21 (20 in year 2) primary schools, 10 (8 in year 2) special schools and four Pupil Referral Units (two in year 2) across 12 LEAs.

Local Education Authority (LEA) officers from the 12 LEAs were interviewed. Interviews in schools were conducted with head teachers, senior managers and school governors. A sample of 40 excluded pupils and 20 parents were interviewed, as well as a sample of 14 local community and voluntary organisations supporting minority ethnic families in their communities.

In addition, information on over 800 excluded pupils was collected from a range of ethnic backgrounds across the 85 institutions over the two years, providing information on pupils’

background and presenting problems. School and LEA documentation, school reports and official publications on race relations and on exclusions were also examined.

Main Findings

The Local Education Authority's role

Data indicate that Local Education Authorities (LEAs) gave a great deal of advice and provided guidance, literature and training, helping schools to meet the legal requirements of the RRAA. Draft Racial Equality Policies were seen to be of considerable practical help.

LEAs offered a range of training on the implementation of the RRAA for heads, teachers and governors. The extent to which this was taken up by schools and given priority over other training focuses was not clear. Inspection, as part of the school improvement activities of the LEA, usually contained a focus on equality issues, particularly those concerned with minority ethnic attainment and exclusions.

LEAs identified the following good practice on tackling minority ethnic exclusions: ensuring the ethos of the school was accepting; celebration of diversity; mentoring of pupils; collecting good quality data about themselves and interrogating it; partnership with parents, especially with Black Caribbean parents; attention to community and home issues; and diversifying the curriculum.

None of the Ofsted inspection reports for the 12 LEAs discussed disproportionality in minority ethnic exclusions.

Secondary schools

The disproportionate exclusion of Black pupils was evident in the data made available by the school sample for both permanent and fixed term exclusions. In both cases, Black pupils were excluded at twice the rate of other pupils.

Fewer excluded Black pupils had attendance problems and fewer were on the higher levels of the special educational need Code of Practice. For Black pupils, as well as Asian and mixed heritage pupils, the reasons for exclusion were more frequently given as being excluded for offences related to violence against other pupils compared to White pupils (41% of Black and mixed heritage pupils, and 46% of Asian pupils compared to 29% of White pupils), and less likely to have been excluded due to persistent misconduct.

The distinction made in the RRAA between equal opportunities and racial equality was not clear to a small number of schools in the sample. This may have hindered the development of specific procedures designed to promote racial equality.

While all secondary schools had a race equality policy in some form, as required by the RRAA, less than half (44%) had an associated action plan as recommended by the CRE and this was not always in the school development plan as also recommended by CRE (2002e) guidance.

Effective monitoring of data by schools of pupils by ethnicity was not evident in the sample as a whole. The use of a race equality impact assessment (which requires rigorous analysis of a range of data by ethnicity, gender, and social class, discussion of differential outcomes and the institution of positive strategies to address these) was not used widely by the schools in the sample.

Many schools had moderately well developed links with community organisations and worked hard to draw parents/carers in. Interviewees felt that dedicated staffing to support these links would have helped to strengthen relationships with the local community.

Of the seven recent Ofsted inspection reports carried out on secondary schools in the sample, all included figures on permanent and fixed term exclusions by ethnicity. However, none made any written comment on the figures, even though the data on six of the seven schools showed disproportionality.

There was evidence of some good practice in implementing the duties of the RRAA. Twenty per cent of the schools (10) were judged by the research team to be making impressive progress in implementing comprehensively the RRAA in relation to minority ethnic exclusions. In these schools, there was good awareness amongst senior staff and governors interviewed of the requirements of the RRAA and initiatives were implemented to reduce exclusion and address minority ethnic pupil disaffection. Fixed term and permanent exclusions in these schools were low and any disproportionality was recognised and being addressed.

Forty four per cent of schools (22) were considered to be making good progress in collecting and analysing their data, had some training, initiatives to address exclusion and sought ways to involve parents. In 28% of schools (14), policies in line with the RRAA and initiatives were developing. Many statistics were collected but not all analysed. Community links could be developed further to encourage parents to support the school. Eight per cent of schools (4) were often struggling with a range of issues, did not show full understanding of the RRAA and few staff and governors had been trained for the RRAA. Schools' community links were not well developed. School data were collected but not fully analysed.

Funding through DfES initiatives (e.g. Excellence in Cities, Behaviour Improvement Programme) was more often found with these higher rated schools which enabled staff to be recruited (e.g. learning mentors), initiatives to be developed (e.g. Black boys group), new structures (inclusion units) and new collaborative arrangements with other schools (temporary or permanent managed moves to another school).

Primary schools

The few exclusions that took place in the sample of 21 primary schools still showed disproportionality with Black and mixed heritage pupils excluded permanently and for fixed term periods at twice the rate of the population as a whole.

Of the primary school children that had been excluded, almost all had a fixed term exclusion, were more likely to have special educational needs and were more likely to be attaining significantly below average. They were, therefore, still considered to be at risk of further behaviour problems that could lead to future exclusions. This points to a need for continued monitoring, liaison with any future school and appropriate continuing support for such pupils who must be deemed at risk of more serious disciplinary exclusions later.

The schools rated highest by the research team in terms of awareness of the implementation of the RRAA and addressing behaviour difficulties had a range of imaginative preventative strategies. Schools attributed to some extent this provision to Excellence in Cities, Education Action Zone and Behaviour Improvement Programme funding and they saw the mentoring, family liaison and counselling as helping to reduce exclusions.

While the schools had a race equality policy in accordance with the statutory requirements of the RRAA, only two thirds had an associated action plan and the idea of a race equality impact assessment was not widely carried out in line with the guidance. Competent analysis of monitoring data on attainment, exclusions and attendance by gender and ethnicity was rare which made it

difficult for schools to know with any accuracy if specific groups performed differently or needed more help.

In contrast to the case with secondary schools, some Ofsted inspection reports did look at disproportionality and required the school to examine data on itself more closely.

Special schools and PRUs

Black pupils are disproportionately excluded from special schools (PRUs are not covered in the figures). The strength of the special schools and PRUs is that they are often receivers of excluded pupils and staffed by professionals equipped to manage the problems such pupils may present. The adult-pupil ratio allows individualised and flexible provision to be made. Special schools and PRUs often had an outreach facility, and positive links with schools and further education colleges helped both with preventative work and reintegration.

As recipients of excluded pupils, they tended to have higher proportions of Black pupils. They regarded work with parents/carers as integral to what they did and the acknowledgement of ethnicity and cultural issues was normal practice in the best schools. Collectively, they nonetheless still needed to address the likelihood of Black pupils being excluded disproportionately.

Community groups

Community and voluntary groups, especially those associated with minority ethnic groups, appear to have a stronger role to play than they currently do in most cases. Some schools had built up supportive contacts but few parents/carers knew of them or appeared to see them as an appropriate source of help and advice on educational matters.

Voluntary organisations themselves are under-funded and there is sometimes friction and little direct engagement between LEAs and the community and minority ethnic community organisations. Parents can play an important role, with schools, in addressing problems with young people at risk of exclusions and community groups can offer support. Some minority ethnic organisations provide alternative education and liaise with the LEA to enable reintegration. Some receive direct funding from the LEA.

Two minority ethnic voluntary organisations perceived schools in their area as being in part explicitly racist in terms of the outcomes for minority ethnic pupils, the curriculum, culture and relationships.

Recommendations

National Government Agencies

- The meaning and implications of ‘institutional racism’ should be clarified. It should be operationalised for the education service at school, LEA and national levels to indicate more explicitly what counts as institutionally racist. Guidance, support and enforcement should make it explicit that schools, LEAs and the DfES should calculate disproportionalities in minority ethnic exclusions, consider the justice of such disproportionalities that are found and institute positive action if a disproportionality is deemed unjustified.
- The funding for such schemes as Excellence in Cities and the Behaviour Improvement Programme should be continued and refined. In particular, they should be linked to clearly quantitative targets which LEAs, and schools collectively within an LEA, can work to.
- Ofsted inspection reports of schools and LEAs should set out data on disproportionality in attainment and exclusions by gender and ethnicity, and possibly by free school meals, and

reports should comment on disproportionality.

Local Education Authorities

- LEAs should increase attention to matters of racial equality, with emphasis on monitoring of process and outcomes, reporting fixed term and permanent exclusions by ethnicity for each school, giving disproportionality scores for each school. They should support schools in devising positive actions to counter disproportionality.
- LEAs should develop further the collaborative structures across schools to support temporary placements of pupils in neighbouring schools and broker other mutually supporting schemes which draw on the skills and facilities of special schools and PRUs.

Schools and community organisations

- Data in schools should be systematically collected by ethnicity, age and gender on all major school processes and outcomes, especially attainment, attendance, exclusions and other disciplinary practices. Schools should rigorously analyse these data and the results should be available to governors, the LEA and other groups.
- Strategies deemed successful in countering disproportionate minority ethnic exclusions should be disseminated widely. Such strategies include mentoring, restorative justice, specially targeted groups, in-school inclusion units, community group input, strengthened links with parents, collaboration with special schools and PRUs. Many of these strategies work with all groups.
- Primary, secondary and special schools, as well as PRUs, should develop ways of liaising with parents/carers and community organisations, especially Black and minority ethnic parents and organisations, more effectively.

CHAPTER 1: INTRODUCTION

1.1 Overview

This research was funded by the DfES for a two year period, September 2002 – August 2004. The study proceeded on two levels: mapping minority ethnic exclusions across LEAs through quantitative analysis; investigating the measures that have been implemented in schools following the requirements of the Race Relations (Amendment) Act 2000 in a sample of schools. On another level, the research also sought to examine the impact of such strategies and provide case studies of good practice.

1.2 Objectives and Research Questions

The objectives and research questions for the research were to:

1. map patterns of minority ethnic exclusions in all maintained schools in England
 - 1a How do minority ethnic exclusions vary across LEAs and schools?
 - 1b What relationships exist between proportions of minority ethnic exclusions and other variables such as deprivation, social and economic group and gender?
2. examine the measures taken under the RRAA to reduce the disproportionate levels of minority ethnic exclusions and to highlight examples of good practice;
 - 2a Have LEAs and schools carried out race equality impact assessments?
 - 2b What are the range of measures that have been implemented in schools following the requirements of the RRAA?
 - 2c What impact have such measures had on reducing the levels of minority ethnic exclusions?
 - 2d What examples of good practice exist in reducing levels of minority ethnic exclusions and what are their defining characteristics?
3. inform future policy on exclusion with a particular emphasis on Black and minority ethnic exclusions.
 - 3a Where exclusions are low, or low for particular sub groups, what factors, policies and practices appear influential?
 - 3b What is the mix of in school and community action which leads to low exclusions, or at least equity in exclusions, in relation to black and minority ethnic groups?

1.3 Mapping Minority Ethnic Exclusions

Pupil Level Annual School Census (PLASC) data are returned to the DfES each year following the January census date. These returns contain data on all pupils on roll and a Unique Pupil Number (UPN) for each pupil. They also include data on pupils permanently excluded from school in the previous academic year. The PLASC school roll data for 2001/02 and 2002/03, together with exclusion data for these years, were analysed in relation to ethnicity. The data for 2002/03 were subjected to multi-level analysis to determine the disproportionality of exclusions of some minority ethnic groups even when other factors are accounted for such as rates of free school meals and special educational needs. The PLASC data for 2001/02 were also used to select the LEAs and the visit sample of secondary schools such that there would be sufficient minority ethnic pupils, particularly Black Caribbeans, and a range of exclusion rates.

1.4 Sample LEAs and Schools

Visits were made to 50 secondary schools (see appendix B for full account of sampling) and 21 primary schools in 12 LEAs, to give a range of exclusion rates and ethnic composition, and also to 10 special schools and four Pupil Referral Units. Data were gathered through head teacher and senior staff interviews; governor interviews; analysis of randomly identified cases of fixed term or permanent exclusion, 10 in secondary schools and five in the primary and special schools and PRUs; analysis of documentation, including behaviour policies and race equality policies; analysis of exclusion data held by the schools visited in both years of the study. LEA officers were interviewed in both years of the study and in the second year interviews were carried out with 40 excluded pupils and 20 of their parents. Representatives from 14 community groups were also interviewed on their perceptions of, and roles in, minority ethnic exclusions. These groups worked for minority ethnic interests or ran alternative schools for excluded Black young people.

The quantitative data on exclusions were analysed by ethnicity to identify disproportionality, that is to find the higher or lower rates of permanent exclusion for some minority ethnic groups compared with the exclusion rate for other pupils. This analysis included looking for differences by ethnicity in free school meal status, special educational needs status and attainment.

The interview data were analysed for evidence of race relations policies conforming with the RRAA and for strategies to reduce exclusion, particularly minority ethnic exclusions. The analysis sought evidence of use of data by the school for a race equality impact assessment and whether this led to strategies to address inequalities – and whether these strategies were evaluated.

Schools were rated on a four-point scale in terms of their implementation of the RRAA, associated non-statutory recommendations and ‘positive action’ with regard to exclusions, particularly Black exclusions. The over-riding issue is about the existence or not of ‘institutional racism’ as defined in the Macpherson Report (1999). The research goal has been to set out data related to how institutional racism might be recognised, what strategies are in place to address it and what appears to be working.

1.5 Structure of the report

Chapter 2 examines the requirements and guidance related to the RRAA but also makes reference to the wider policy context, outside and within education, and to the wider inequalities evident in the functioning and outcomes of public services. Chapter 3 sets out methods of data collection and analysis. Chapter 4 deals with quantitative data available nationally for schools on ethnicity and exclusion. Chapter 5 deals with the LEAs’ part in informing and supporting schools in relation both to race equality policies and reducing exclusions. Chapters 6 to 8 deal in turn with the situations found in the 50 secondary schools, the 21 primary schools and in the special schools and PRUs. Chapter 6 is especially important being the major part of the data and where the overwhelming majority of exclusions occur. Chapter 9 reports on pupils’ and parents’ perspectives and deals with the extent to which there is perceived racism or unfairness. Chapter 10 examines the role of community groups and Chapter 11 provides an overview and judgement of the extent to which institutional racism and disproportionality in school exclusions are present in the schools researched.

CHAPTER 2: THE POLICY CONTEXT: RACE RELATIONS LEGISLATION AND EXCLUSIONS FROM SCHOOL

This chapter considers the requirements of the Race Relations (Amendment) Act 2000 (RRAA) and other relevant guidance given to schools. It looks at inequalities experienced by some minority ethnic groups in fields other than education. The education policy context is examined at some length.

Key issues

- The Macpherson report and the Race Relations (Amendment) Act 2000 (RRAA), together with guidance documentation from the Commission for Racial Equality (CRE), have set an agenda for action to assess the impact of policies on minority ethnic groups.
- Copious guidance literature from the CRE and other bodies sets out the general and specific duties of the RRAA and describes what a competent race equality impact assessment would comprise. This is contained in the CRE *Learning for All* and accompanying disk, *The Duty to Promote Race Equality* pack (particularly the Ethnic Monitoring volume) and the more recent *Race Equality Impact Assessment* publication.
- Minority ethnic groups experience disadvantage and a degree of social exclusion in relation to a number of public service areas besides education.
- Within education, some minority ethnic groups, notably Black Caribbean, have lower levels of attainment than average at every key stage.
- A considerable body of official documentation from DfES and Ofsted offers guidance on improving behaviour of all pupils and raising minority ethnic attainment. Relatively large funding has been made available to address these issues targeted at areas of deprivation.
- Critics have suggested that, despite documentation, the commitment, action and resources are not sufficiently targeted at improved outcomes for minority ethnic pupils in terms of attainment and exclusions.
- This study needs to be set within the national policy context as well as the local and institutional contexts, processes and outcomes. Reducing exclusions, raising attainment and carrying out effective ethnic monitoring could be supported more rigorously and systematically at each of these levels.
- With the emphasis on standards overshadowing some issues of inclusion, it is easy for schools to relegate monitoring of minority ethnic exclusions and the consideration of positive action to a lesser role.

2.1 Statutory requirements and non-statutory guidance on racial equality in schools

This section examines the background to the concept of ‘institutional racism’ and raises questions about the clarity, in practical terms, of the definition. It goes on to set out the general and specific duties placed on education by the RRAA and examines what it means for schools, LEAs and the national school system as a whole to fulfil these general and specific duties. Guidance documentation is available from the CRE (see Glossary for brief listing), DfES and Ofsted and it is important to form a view on the force, logic and legal implications of the duties and guidance. This forms a vital part of the context within which to evaluate the analysis of the quantitative and qualitative data which follows.

The background to the RRAA

Following the Stephen Lawrence murder in 1993, the judgements of the Macpherson enquiry and the passing of the RRAA, institutional racism has been defined, and identified as potentially operative in a wide range of institutions. Institutional racism is:

‘The collective failure of an organisation to provide an appropriate and professional service to people because of their colour, culture or ethnic origin. It can be detected in processes, attitudes and behaviour which amount to discrimination through unwitting prejudice, ignorance, thoughtlessness and racist stereotyping which disadvantage minority ethnic people. It persists because of the failure of the organisation openly and adequately to recognise and address its existence and causes by policy, example and leadership. Without recognition and action to eliminate such racism, it can prevail as part of the ethos or culture of the organisation. It is a corrosive disease’ (Macpherson Report, 1999: para 6.34).

Macpherson asserts that, ‘to seek to address the well founded concerns of minority communities simply by addressing the racism current and visible in the Police Services without addressing the education system would be futile’ (Ch 46, para 34).

When education is experienced as a poor service, through groups regularly achieving low grades or more frequently receiving exclusions, it raises questions about whether the service *is* poor and whether there is an association between the provision of the service and the colour, culture and ethnic origin of the groups. The notion of institutional racism removes individual motive and attributes cause to the depersonalised operation of a system; yet the system operates under the control of individual professionals who choose amongst options. Of institutional racism Macpherson mentions the failure to ‘adequately recognise and address its existence’; this points to a strong need to gather data on the nature of the problem. Our individualised and meritocratic education system tends to work against identifying and confronting *group* differences.

The Macpherson Report contains three recommendations for education:

‘67. Consideration be given to the amendment of the National Curriculum aimed at valuing cultural diversity;

68. Record all racist incidentsthe numbers and self defined ethnic identity of “excluded” pupils are published annually on a school by school basis;

69. That Ofsted inspection includes examination of the implementation of such strategies’ (Ch 47).

The discussion of unwitting racism and institutional racism draws on the Scarman report of a decade earlier and other literature. Macpherson, unlike Scarman, accepts the existence and power of institutional racism and thereby prompted the legislation that applied to a wide range of public services.

The general duty of the RRAA

The RRAA (Section 71.1) imposes a general duty on public authorities,

‘to have due regard to the need:

- a) to eliminate unlawful racial discrimination; and
- b) to promote equality of opportunity and good relations between persons of different racial groups’. (CRE, 2002a: 15)

These aspirational statements contain little that requires direct action from an organisation. The claim that ‘Public authorities must make race equality a central part of their functions (such as planning, policy making, service delivery, regulation, inspection, enforcement and employment)’ is likewise non-specific and makes the publication of specific, statutory duties necessary. The specific duties, as set out below, are the means and processes deemed necessary to meet the general duty.

Specific duties placed on education

The Statutory Instrument, 2001 (No. 3458), in that part concerned exclusively with education, places specific duties on governing bodies of schools, by 31 May 2002, to:

- (1) (a) prepare a written statement of its policy for promoting race equality,
(b) have in place arrangements for fulfilling ... its duties.
- (2) Such a body shall,
 - (c) maintain a copy of the statement, and
 - (d) fulfil those duties in accordance with such arrangements.
- (3) It shall be the duty of such a body to,

- (c) assess the impact of its policies, including its race equality policy, on pupils, staff and parents of different racial groups including, in particular, their impact on the attainment levels of such pupils; and
 - (d) monitor, by reference to their impact on such pupils, staff and parents, the operation of such policies including, in particular, their impact on the attainment levels of such pupils.
- (5) Such a body shall take such steps as are reasonably practicable to publish annually the results of its monitoring.’ (CRE, 2002: 36/37)

What it means to *assess and monitor the impact of its policies* on pupils is clearly described in *Learning for All* (CRE, 2000) and accompanying disk, *The Duty to Promote Race Equality* (CRE, 2002a-e) pack (particularly the Guide for Schools, pp 15-21 and the Ethnic Monitoring volume, pp 49, 55/6, 61/2 and 77) and the more recent *Race Equality Impact Assessment* (CRE, 2004). ‘Assessing and monitoring the impact on attainment levels of pupils’ should acknowledge the detrimental impact of exclusions on attainment, but it is not explicitly drawn out. It might be interpreted that monitoring impact would require careful marshalling of data by ethnicity and probably gender in order to check on unequal provision and unequal outcomes, but less formal procedures may be legally sufficient.

The requirement that each school ‘publish annually the results of its assessment and monitoring’ (CRE, 2002a: 37) does not make it clear how widely these results should be made available.

The Commission for Racial Equality has both promotional and enforcement powers in relation to the Act. It is unclear whether CRE has used its enforcement powers effectively or (with Ofsted and DfES as two further potential enforcement agents) challenged schools or LEAs through the courts on detrimental disproportionate outcomes such as low attainment and high rates of exclusion for Black Caribbean pupils. It is also questionable whether that would be the most constructive course of action.

Non-statutory guidance

The non-statutory *Guide for Schools* (CRE, 2002e) recommends that the race equality policy should: be linked to an action plan; list these [action points] as part of the school’s

development plan; have implementation and monitoring details; define roles and responsibilities; set out action if the policy is not followed (CRE, 2002e: 11). The non-statutory guidance goes on to state that, ‘The race equality policy can be combined with another policy, such as an equal opportunities or diversity policy. However, to meet this duty, the race equality policy should be clearly identifiable and easily available’ (CRE, 2002e: 12). In the *Ethnic Monitoring: A guide for public authorities*, amongst the 14 areas suggested for monitoring in schools, and possible positive action, are ‘pupils’ attainment levels’, ‘temporary and permanent exclusion’ and ‘disciplinary action’ (CRE, 2002c: 77).

The gap between the statutory requirements and non-statutory guidance is significant and may explain the nature and extent of implementation of the Act. The duty ‘aims to make the promotion of race equality central to the way public services work’ (CRE, 2002a: 9). Guidance on ethnic monitoring (CRE, 2002c) states that ‘The general duty does not say you must monitor policy and service delivery. However, you will find it difficult to show that you have met your duty to eliminate unlawful racial discrimination and promote equal opportunities and good race relations if you do not have monitoring data’ (p6) and for education it is a specific duty 3 (b), as listed above. The CRE guidance on the RRAA is fairly clear on what a competent race equality monitoring would look like in schools. Collecting, maintaining, analysing and debating the implications for action of data by ethnicity and gender would appear to be essential first steps. However, this practical, quantitative work is not an explicit requirement.

Two earlier CRE publications are more explicit in their guidance. The eleven page good practice guide on exclusions (CRE, 1997) contains sound advice for schools and LEAs. It recommends training, monitoring of exclusions and other discipline problems by social class, ethnic group and gender and sets out an extensive checklist of action before exclusion occurs. The *Learning for All* manual (CRE, 2000) would appear to be an overlooked but very powerful working document. It sets out seven sets of standards for racial equality. Under ‘Policy, Leadership and Management’, there are eight standards; as well as ensuring that policies are produced and discussed, a race equality action plan is to be produced which is part of the school development plan. Under ‘Admissions, Attendance, Discipline and Exclusion’, the document mentions ‘proactive steps’ and elsewhere there is emphasis on monitoring a wide range of processes and outcomes by

ethnic group, and an expectation that disparities are discussed and targets set. The recently produced *Race equality impact assessment* (CRE, 2004) stresses the importance of the race equality impact assessment (REIA), sets out how it is best done and how it is properly used. The REIA, it must be acknowledged, competes with many other priorities in school. Without it competently done, it is difficult to see how race equality could be 'central to the way public services work'. A 'hard' interpretation of the specific duties would be that schools should scrutinise and discuss policies and their impact on different groups and that, at a minimum, data on attainment levels, fixed and permanent exclusions and attendance should be analysed with a view to positive action where inequalities are evident. If this interpretation of the requirements of the RRAA is not operative, and schools do not know whether they serve different groups equally well, they may justifiably be charged with institutional racism.

The teacher unions (National Union of Teachers, National Association of Schoolmasters/Union of Women Teachers, Association of Teachers and Lecturers, Professional Association of Teachers) have provided advice to their members on developing race equality policies, as have other stakeholders in education (e.g. Association of Local Government, Runnymede Trust). Schneider-Ross (2003) notes, 'more guidance is needed for many organisations' (p 10), though it is likely that requirements would need to be strengthened for schools and LEAs to make use of such guidance material as currently exists.

It should be noted that minority ethnic groups experience inequalities in a range of service provision (Nazroo, 1997) including health (DoH/SSI, 2000), the criminal justice system (YJB, 2004) and employment (TUC, 2000). In education, the differentials in achievement are starkly shown by DfES analyses (2003). Only a third of Black Caribbean pupils achieved 5+ A*-C grade GCSEs in 2003 compared to the national average of 51% (DfES, 2004c). The differential is also illustrated in analyses of pupil progress from each key stage. The socio-economic factor (in terms of eligibility or not for free school meals) makes a distinct difference.

2.2 Minority ethnic exclusions, governance and inspection

The disproportionate exclusion of minority ethnic pupils has been a local and national concern for some years (Gillborn, 1998; Parsons, 1999; Osler, 2000; Majors, 2001). The

concern with persistent differences in exclusion rates for minority ethnic pupils is not independent of inequalities in other areas, as indicated above.

Questions which this research was required to address covered the context, processes and outcomes of the interaction between the RRAA and school exclusions. School exclusions, permanent or fixed term, are considered a conventional part of a school's disciplinary strategy in the UK. Rates differ across the four countries of the UK, and are much lower in Scotland and Northern Ireland (Parsons, 2000: 85). School exclusions are not managed through an educational law in the countries of mainland Europe and arguably the exclusion of young people from schools is in tension with other laws, conventions and guidance, including the United Nations Convention on the Rights of the Child (UNICEF, 2000), The Children Act (DoH, 1989) and Every Child Matters (DfES, 2003).

The policy context explicitly points to the need to address equality for minority ethnic groups, but it does so in an environment of competing priorities. Schools and LEAs are urged to raise standards AND promote inclusion. Currently, school exclusions are governed by regulations made under the 2002 Education Act and guidance from the DfES, most recently, *Improving Behaviour and Attendance: Guidance on Exclusion from Schools and Pupil Referral Units* (DfEE, 2003, 2004). Half a page is devoted to 'Race Relations', and advises that 'Schools are required to assess whether policies that lead to sanctions including exclusion, have a disproportionately adverse effect on pupils of particular racial groups. If adverse impact is identified and this cannot be justified, then the policy and practice should be revised'. Earlier exclusion guidance had noted that exclusion rates among Black Caribbean pupils were significantly higher and advised that 'where there is unjustified over-representation... a strategy should be implemented to address this' (DfEE, 1999: 13).

Ofsted Inspection documentation requires inspection teams to consider 'inclusivity' and 'the school's results and other performance data, reporting any variations between different subjects and groups of pupils' (Ofsted, 2003a: 33). Inspectors assess whether the school 'promotes... racial harmony' (Ofsted, 2003a: 34). The Inspection handbooks (Ofsted, 2003b) spell out these requirements further and the 'Record of Corporate Judgements' (Ofsted, 2003c) calls for ratings on 'behaviour, including exclusions'

‘managing attendance’, ‘monitoring performance data, reviewing patterns and taking action’, ‘promotion of equal opportunity’ and compliance with statutory requirements including ‘race equality’. It also has a section on ‘the relative achievement of different groups of pupils’, specifically requiring a judgement about whether ‘pupils from one or more ethnic groups...achieve better than/achieve as well as/achieve worse than...other pupils’ (p20).

The Ofsted guidance on ‘Evaluating Educational Inclusion’ (Ofsted, 2000) states in the clearest terms the need to know ‘how well different groups of pupils respond to school...’ and whether ‘any groups of pupils are over-represented in relation to absence, lateness and exclusion’ (p14) and also ‘standards achieved by pupils of different gender or ethnic background (p12).

The Social Exclusion Unit collation of work on minority ethnic issues and neighbourhood renewal (SEU, 2000) sets out a range of recommendations for the DfES, the Teacher Training Agency, LEAs and Ofsted. Most pertinent is the proposal that ‘Ofsted will be asked to conduct special inspections of ten schools each year that have disproportionately high levels of exclusion or truancy, either overall or among specific groups and particularly African-Caribbean children’ (SEU, 2000, chapter 10, p1). It is unclear whether these proposals have been carried through.

Much government funding has been channelled into initiatives to address under-achievement and social exclusion through education. Excellence in Cities (EiC) and Education Action Zones (EAZs) have been the biggest and longest funded schemes (DfES 2002a, 2002b) and are now joined as one. Sure Start and the Children’s Fund have been aimed specifically at younger children. The ethnicity dimension implicit within these projects, implicit because minority ethnic groups live disproportionately in poorer areas, has not been strong. However, the Behaviour Improvement Programme (BIP) extended to the Behaviour and Education Support Team initiative (BEST), both allied to EiC have been motivated by under-achievement and drop-out as well as the Home Office’s Street Crime Initiative and are in LEAs with high proportions of minority ethnic pupils. The DfES website contains extensive advisory documentation to support LEA BEST and BIP projects. Almost every part is good advice, whatever the background of the young people involved.

The Ethnic Minority Achievement Grant (EMAG) has an exclusive focus on minority ethnic groups. Growing out of Section 11 funding, the major source when Ofsted (1999) reported on efforts to raise attainment of minority ethnic pupils, EMAG is the explicit vehicle for supporting minority ethnic pupils. Several official publications support it: *Aiming High: Raising the Achievement of Minority Ethnic Pupils* (DfES, 2003e), another on minority ethnic pupils in mainly White schools (DfES, 2004d) and two ‘good practice guides’ for primary (Ofsted, 2004a) and secondary schools (Ofsted, 2004b). It was reported, however, that there was a feeling that ‘it [EMAG] was disproportionately used to support bilingual pupils to the detriment of other pupils who require additional support’ (DfES, 2004e: 1).

Ofsted (2002), following up the 2001 report on managing support for the attainment of pupils from minority ethnic groups (Ofsted, 2001), reports that, despite encouraging signs, there continue ‘familiar patterns of differential achievement among ethnic groups’ (p29). Indeed, it is perhaps Ofsted’s still earlier publication which sets out most uncompromisingly what should be done.

‘To make sure that equal opportunities policies take effect, LEAs and schools must:

- monitor pupil achievement and behaviour, including attendance and exclusions, by ethnic group;
- use such data to:
 - set targets for raising the attainment and for improving the attendance and behaviour of underachieving groups;
 - manage and deploy grant-aided support more effectively’

(Ofsted, 1999: 9).

Commentary on the nature, extent and priority of action has been moderately critical although the provision of funds has grown. Gillborn writes of the ‘(mis)education of black children’ (2001) and Blair points to the ‘racialisation of school disciplinary exclusions’ (2000). Fundamentally, there is a question of whether the interventions should be about fixing ‘the victim’ or adjusting social institutions, whether they should focus on providing *support* and *access* or on ensuring *outcomes* are changed to reduce or remove disproportionality. Schneider-Ross (2003), reporting on the situation six months

after the requirements of the RRAA should have been implemented, point out the need to move beyond preparing the infrastructure ‘to a focus on outcomes, action plans and public accountability’ (p 13). There is some doubt about the momentum to move to this point with ‘schools ... least likely to express a need for further guidance – despite having made less progress in many cases’ (p 13). The London Development Agency report (2004) also notes ‘the reluctance of education professionals to accept the impact of institutional racism on the academic achievement of Black pupils, [with] too few head teachers having a sound enough understanding of race equality issues’ (London Development Agency, 2004: 42).

2.3 Summary

The objectives of this project were set out on page 8. In pursuing these objectives, it has been important to bear in mind five levels of action and policy: the national level, LEA level, institutional context, the level of school process, and outcomes.

The general and specific duties of the RRAA are set out in clear terms. The non-statutory guidance from the CRE describes the action required for compliance with the Act. The considerable literature setting out requirements and expectations may fall short of ensuring that schools, LEAs or the national system are aware of adversely disproportionate outcomes for some groups, most notably Black Caribbean and Other Black background pupils, in relation to exclusions, and their responsibilities to consider ‘positive action’.

Finding a difference on any measure between minority ethnic groups does not automatically require positive action. However, the over-representation of Black Caribbean pupils in exclusions and their under-representation in the higher levels of attainment require that these manifestations are given serious management attention where they occur.

An over arching question is whether the state’s provision of education is adequately designed to meet the needs of the full range of its clientele. If some groups are being poorly served, this must first be recognised and is most tellingly revealed in quantitative data. Where inequities or disproportionalities are evident, policy and action can be considered to address these.

Chapter 4 presents data on exclusions by minority ethnic groups and reveals the extent of disproportionate permanent exclusion practice. Chapters 6 and 7 present data on samples of secondary and primary schools and extend the detail of analysis to fixed term exclusions and reasons for exclusion and how these vary by ethnicity.

CHAPTER 3: RESEARCH METHODS

This chapter outlines all aspects of the design of the study and the methods used. The analysis of PLASC data on school rolls and permanent exclusions for all schools in England is briefly described. The sample selection for a more detailed study of 240 schools is explained. Sample selection and data collection techniques for the 85 schools visited during the study are covered in some detail.

Key Issues

- As well as being of use to schools, the DfES PLASC system provides a valuable source of data for a more sophisticated examination of the issue of minority ethnic exclusions. However, the current method of tracking permanently excluded pupils is not entirely suited to this.
- Free School Meals is a proxy for socio-economic status which may not be sensitive enough as a poverty indicator; studies of health and ethnicity confront similar problems of determining socio-economic status.
- Schools are understandably resistant to allocating time to research, the more so when it concerns sensitive and political issues such as race and education. This does lead to refusals and diminished response from the schools.
- The combination of quantitative data on schools allied to school staff perceptions, as well as those of pupils and parents, offers multiple partial perspectives which contribute to a well corroborated argument.

3.1 Introduction

This two year study had access to national data sets on schools, pupils and permanent exclusions over the period 2002-2004. These data were analysed and provided the basis for a sample of schools on which fuller quantitative data could be analysed and a visit sample identified. The bulk of the work was in visiting the 85 schools and PRUs in the visit sample in 2002/03 and again in 2003/04. The two year period offered opportunities to go beyond the single ‘snap shot’ and to see if processes and outcomes remain constant and to build up a fuller picture of policy, initiatives and disproportionalities in both permanent and fixed term exclusions in these schools.

The project, therefore, analysed data from three samples:

- all primary, secondary and special schools in England, using school-level data (Sample A);
- a sample of 240 schools (including 198 secondary schools) from 20 LEAs, using individual-level data (Sample B);

- a visit sample of 50 secondary schools, 21 primary schools, 10 special schools and four PRUs from 12 LEAs, gathering interview and documentary data (Sample C)

The national sample (A): Multilevel models were constructed using school roll data from PLASC 2003 and the corresponding permanent exclusion data from PLASC 2004. The objective was to determine how much of the difference in exclusion rates could be related to ethnicity and how much related to socio-economic status, age, gender and special educational needs or to the ethnic make-up of the school.

Covering all maintained primary and secondary schools, the data file records against each Unique Pupil Number (UPN) gender, age, ethnicity, special educational needs and eligibility for free school meals (FSM) - a proxy for socio-economic status. PLASC also recorded exclusions for the previous school year but exclusions data do not include FSM entitlement; this must be acquired from the previous year's PLASC².

Changing ethnicity codes made comparison across years difficult. Moreover, this study is dealing with very small numbers and there are more pupils for which no ethnicity is registered than there are exclusions. Better integration of data would provide a more certain basis for analysis.

The medium statistical sample (B): Robust statistical analysis requires an adequate number of cases to work with, especially when looking at a relatively uncommon phenomenon such as permanent exclusion from school. For this purpose, the visit sample described below was extended to include twice as many schools in each LEA and 20 LEAs rather than 12. In total, 198 secondary schools were examined, including all those in sample C.

The visit sample (C): Five LEAs were selected for having large proportions of minority ethnic pupils and high previous permanent exclusion rates. This made it possible to find schools within those LEAs that had a combination of sufficiently high numbers of Black

² A proportion of permanently excluded pupils were not on a school roll in the previous year. Those excluded before the January census date, probably a third of exclusions, would not appear on the school's PLASC return, and may have been in no other school. This considerably reduces the numbers.

or Asian pupils (56% - 24% minority ethnic pupils) and sufficiently high numbers of previous permanent exclusions so that the research questions could be addressed on the visits. Eight secondary schools in each of these LEAs were chosen to represent the spread of exclusions and minority ethnic pupils found in each LEA, omitting schools with very few minority ethnic pupils and very few or no permanent exclusions. The second group of five LEAs was selected with lower proportions of minority ethnic pupils (33% - 4% minority ethnic pupils) or lower exclusion rates so that the analysis could be more representative of the country as a whole. However, Authorities with very few minority ethnic pupils were not included. Two schools were selected from each of these LEAs.

The only other authorities suitable for inclusion with the first five were two London Boroughs that were initially held in reserve. To achieve the intended sample of case study schools, the two reserve LEAs had to be included subsequently in the sample. Twenty one rather than 20 primary schools were visited. Appendix B gives a fuller account of the selection of schools for the visit sample.

The 12 LEAs comprised four London boroughs, three metropolitan LEAs, two unitaries and three counties. Within these twelve LEAs, the minority ethnic population varied from over 50% in two, 30-40% in three, 20-30% in five, to two LEAs which had minority ethnic populations of under 5%. Five of them had free school meal entitlement rates for the pupils of over 30%. These LEAs accounted for over 850,000 pupils and permanent exclusions were 1,536 in 2001/02 and 1,380 in 2002/03. The rates of permanent exclusions for these two years were 0.18% and 0.16% respectively. Though accounting for 8% of the LEAs and a little over 10% of the school population the sample accounted for 15% and 16% of permanent exclusions in England. This sample, extended from the original 10 to 12 LEAs, and requiring over a third of the schools to be replaced because of school refusals to be involved, provided groups and areas sufficient to enquire into race equality and school exclusions.

3.2 Organising and carrying out the fieldwork

Gaining access to the sample of schools was difficult, with secondary schools in particular being reluctant, 18 of the original 50 declined involvement. Only two head teachers stated explicitly that it was the subject matter. The largest group of rejectors give no reason (many not responding to letters, calls and emails). Nine said they had no time.

The fieldwork visits were to yield data to complement the statistical findings. It was necessary to collect contextual and documentary data from the school as well as exclusion data. More important were the views of senior staff and a governor on challenges facing the school, minority ethnic exclusions and strategies to tackle these. To go beyond these qualitative accounts, the research sought to examine a sample of exclusion cases, 10 from each secondary school and five from each primary or special school. A quasi-random selection system was developed (see Appendix A 11), ensuring a ratio of 6:4 minority ethnic to White excluded pupils and a mixture of permanent and fixed term exclusions. In many primary schools, there were fewer than the required five, whilst in the secondary schools the permanent and fixed term exclusion list could be over 100.

Nine instruments were developed and are reproduced in Appendix A.

1. The LEA Interview requested information in five areas:

- i) Issues arising from the minority ethnic population mix.
- ii) LEA support for the Race Relations (Amendment) Act 2000.
- iii) Permanent and fixed term exclusion figures.
- iv) LEA monitoring of exclusion rates, target setting and views on successful strategies for raising achievement and promoting social inclusion of minority ethnic groups.
- v) The impact of a range of projects on reducing exclusions in general and in relation to minority ethnic pupils.

2. The Head Teacher or Senior Management Interview covered a number of areas and could be completed in minutes. The interview covered:

- i) Issues arising from the minority ethnic population of the school and the make up of the school staff in terms of ethnicity.
- ii) Race equality policy and LEA guidance.
- iii) Behaviour and discipline issues for the school and strategies tried, including those specifically aimed at minority ethnic pupils.
- iv) Strategies for reducing exclusions and monitoring of exclusions by ethnicity and gender.
- v) Role of the governors and the parents.

vi) Monitoring that takes place in the school by ethnicity and gender in respect of a number of discipline categories and use made of it.

3 & 4. The Senior Teacher interviews (with one person responsible for behaviour issue and another with responsibility for ethnicity issues) duplicated in part the questions in the head teacher/senior management interview and extended to the particular matters associated with their role.

In practice, the ethnicity interview seldom took place but elements of it occurred in the other interviews. In a number of interviews, head and senior teacher (behaviour) were interviewed together. These interviews covered:

- i) Issues arising from the minority ethnic population of the school.
- ii) Behaviour and discipline for the school and the rates of exclusion.
- iii) Monitoring of achievement and behaviour by ethnicity and support for staff in minority ethnic exclusion.
- iv) Training of staff and governors in the Race Relations (Amendment) Act.
- v) Strategies for minority ethnic pupils, what works, and evaluating strategies.
- vi) LEA support for race equality work.

5. The Governor Interview (conducted in year 1 only) covered many of the issues raised with the head teacher and with the senior teacher (behaviour) as well as dealing with the Race Relations Amendment Act, their knowledge of it and their training for it. It also sought information about links with parents and monitoring of various discipline categories by ethnicity and gender.

6. The Excluded Pupil Audit Sheet (2001-02) facilitated the collection of biographical data on the young person, data on special educational needs, family circumstances, perceived supportiveness of the parents, involvement of other agencies and subsequent history. The guidance on the selection of cases by the school is given in Appendix A 11. The objective was to collect data on a systematically selected sample that would provide sufficient numbers of minority pupils and also a sample of white pupils with which to make comparison. Over 800 pupils audit sheets were collected over the two years though there was missing data in many of these.

7. Pupil and Parent Interviews

Aiming for a sample of 50, 100 young people were identified from the pupil audit sheets. Only eight agreed to be interviewed. They were supplemented by another 32 who were identified by the following process. Contact was made with schools, PRUs and community organisations which might identify young people who had been excluded and get verbal agreement from them that they would be willing to be interviewed. The parents were then telephoned by the organisation and their verbal agreement was obtained. Subsequently, the interviews took place and the permission slip was signed at that point with the young people and the parents being made aware that they could withdraw from this process and that all data provided would be held in confidence. Interviews were conducted with 40 pupils and 20 parents.

8. Community Groups

Interviews were sought with 14 community groups, which represented in some way the interests of minority ethnic pupils who have been excluded from school. A number of the organisations were to support African Caribbean groups (including providing alternative education provision for excluded pupils), but the others were more diverse and in one case was a local Race Equality Council. The interviews took place face to face and usually lasted around one hour.

3.3 Data Gathered

The prior information sheet requesting school documents and exclusions data, the ten excluded pupil audit sheets and an explanation of how to select pupils (fixed term and permanent exclusions, minority ethnic and White pupils) were sent out in advance of the visit. By the end of the school year, only 36% of schools had returned all the information. Details are set out in table 3.1 below.

Table 3.1: Schools visited and information returned from schools

	Schools Visited		Prior Information Sheet		School Brochure	
	2002/03	2003/04	Number	%	Number	%
Secondary	50	40	29	58%	34	68%
Primary	21	20	19	90%	16	76%
Special	10	8	4	40%	4	40%
PRUs	4	2	4	100%	4	100%
TOTAL	85	70	56	66%	58	68%

Table 3.2: Further information returned from schools

	Race Equality Policy		Action Plan		Behaviour Policy	
	Number	%	Number	%	Number	%
Secondary	30	60%	22	44%	27	54%
Primary	16	76%	14	67%	15	71%
Special	3	30%	3	30%	4	40%
PRUs	4	100%	2	50%	4	100%
TOTAL	53	62%	41	48%	50	59%

Table 3.3: Interviews (secondary schools)

	2002/03	2003/04
Headteacher/senior staff interviews	50	39
Senior teacher (behaviour interviews)	40	39
Senior teacher (ethnicity interviews)	8	-
Governor interviews	34	-
LEA officer interviews	12	10
Pupil interviews	-	40
Parent interviews	-	20
Community group interviews	-	14
TOTAL	144	162

Over 800 excluded pupil audit sheets were completed. In some schools, the completed sheets were handed to the researcher; in others, the researcher worked with the school to generate the list and collect the data. The majority of schools found the collection of data to be very time consuming; a few refused to complete the sheets or promised to complete them and send them on at a later date. In a few cases, the researcher extracted the

information from the school's data management system. Strenuous follow-up was made and the final count of returned audit sheets for both years is represented in table 3.4.

Table 3.4: Numbers of Excluded Pupil Audit Sheets received

	Secondary	Primary	PRU and Special
Year 1	372	68	42
Year 2	300	46	21
TOTAL	672	114	63

Analysis

Statistical Analysis

PLASC data were interrogated at national, LEA and school level. The excluded pupil audit sheets were entered onto a database and analysed. In particular, the data were interrogated for differences between ethnic groups in terms of:

- a) gender;
- b) age;
- c) changes of school;
- d) two parent family;
- e) positive family involvement with the school;
- f) free school meals;
- g) attendance;
- h) special educational needs;
- i) Individualised Education Plans and Pastoral Support Programmes.

Fieldwork Analysis

A summary document for each school was constructed from an analysis of the interview notes for each set of visits. The summary was divided into 10 areas:

- a) ethnicity issues;
- b) policies and training;
- c) behaviour policies and strategies;
- d) exclusions;
- e) monitoring exclusion and other behaviour by ethnicity;
- f) parents, community and LEA;
- j) attainment;
- k) community links;

- l) number and length of exclusion;
- m) reasons for exclusion.

Rating Scale

In summarizing the judgements of schools in relation to the RRAA and minority ethnic exclusions, a rating scale was devised. From an initial six point scale, a four point scale was applied to the data on each school by two members of the research team independently. The scale rated each school's policy development and strategies in relation to the RRAA and minority ethnic exclusions. The rating was based on interviews and documentary analysis as well as a consideration of monitoring data, exclusion rates and disproportionality calculations for the school. The scale extended from 'Little knowledge of, or commitment to, the requirements of the RRAA and limited work on reducing exclusions' to 'Full knowledge of the RRAA, strategies to reduce exclusion and close monitoring of the impact of strategies'. The full descriptions are given below.

Rating 1 - Little knowledge of, or commitment to, the requirements of the RRAA. Knowledge of responsibilities under the RRAA across governors, management and staff are limited. Little training on RRAA. No or few initiatives for addressing minority ethnic exclusions and no clear monitoring. Few links with community, community organisations or parents. Likely to be disproportionality in exclusions.

Rating 2 - School policy documents and action plans, express commitments and goals. Some school statistics are analysed by ethnicity (attainment, attendance, exclusions, learning support units). Some training to inform RRAA and implications for teaching. Some plans in place but no real use of school statistics to inform need and monitor exclusions by gender and ethnicity.

Rating 3 - Specific actions planned and goals set for reductions in negative outcomes affecting minority ethnic pupils including permanent and fixed term exclusions. Race impact assessment not fully carried out but partly there. Moderately good use made of data on pupils. Training has taken place.

Rating 4 - Policies fully in place and reviewed. Race impact assessment carried out and school data fully analysed by gender and ethnicity. Strategies operating to reduce minority ethnic negative outcomes. Close monitoring of the impact of strategies through quantitative data. Wide range of statutory and voluntary agency contact and use of community groups. Good relationships with community and parents. Where there is disproportionality in exclusions, it is recognised and action is taken.

The inter-rater reliability across the 50 secondary schools was 66%; differences were resolved through discussions. With the 21 primary schools, the inter-rater agreement was

higher at 71%. For special schools and PRUs, it was 58%. The moderate levels of inter-rater reliability reflect the complex nature of the situation.

Further ratings of receipt of funding and attendance/attainment

In a number of other areas the data were ‘compressed’ to provide ratings: schools were judged on a three point scale for the external projects (EiC, BIP, EAZ etc) in which they were involved (high, medium and low funding). This was used to aid understanding of schools’ capacities to address behavioural issues.

Pupils were assessed from the excluded pupil audit data as having an attendance problem if their attendance was below 80%. Pupils were rated as below or above average in attainment if they averaged one level or more below, or above, the mean level for that key stage. Otherwise they were coded as ‘average’.

Other

Other relevant documentation was examined, including Ofsted school inspection reports, LEA documentation and guidance literature on race relations and exclusions produced by national bodies.

Links were sought across the different bodies of evidence: funding of projects (EiC and BIP) and schools’ RRAA and exclusion rating, inspection reports, school performance, interview material and elements of the excluded pupil audit.

CHAPTER 4: ANALYSIS OF NATIONAL EXCLUSION AND PLASC DATA

This chapter begins by looking in detail at published national permanent exclusion figures, including those for pupils eligible for free school meals and those having statements of Special Educational Need as well as those from different ethnic groups. It goes on to investigate how far there is a change in the picture of disproportionality in exclusion rates for minority ethnic groups when national aggregate figures are broken down into LEAs and schools. A number of difficulties caused by the system for collecting PLASC data on exclusions are addressed. Analysis of individual pupil data for 198 secondary schools (sample B) suggests that disproportionality can be very different for pupils of the same ethnicity but different ages or genders.

Key Findings

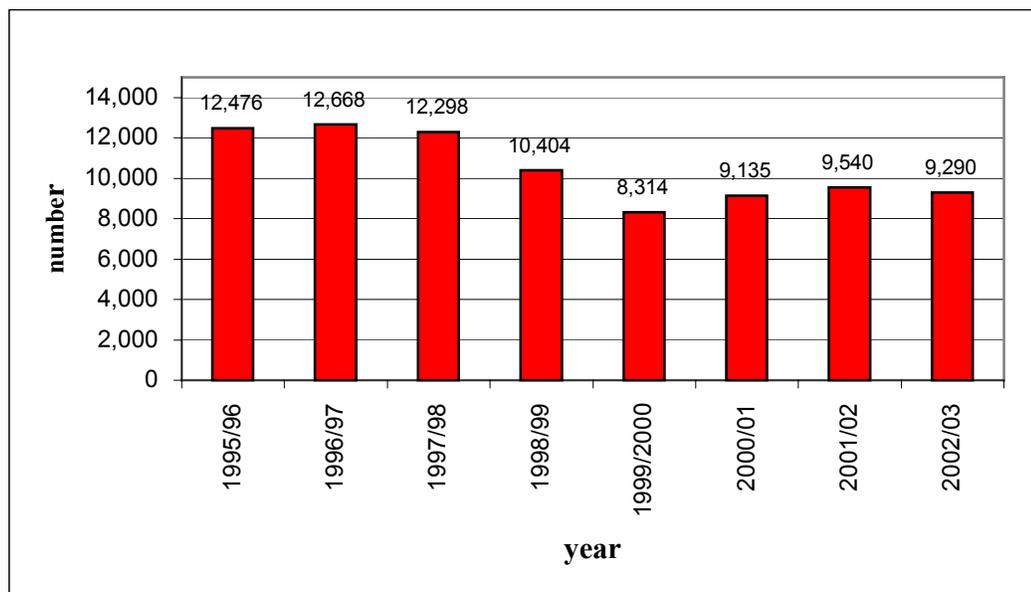
- Analysis of national data sets on permanent exclusions from school points to a complex picture of enduring but gradually diminishing inequalities across minority ethnic groups in terms of permanently excluded pupils. In recent years, the crude rate of permanent exclusion for Black Caribbean pupils has dropped from 4.3 times to 3.1 times and for pupils from Other Black Backgrounds from 3.9 times to 2.6 times the White rate.
- Multi-level analysis of national exclusion and PLASC data suggests that, even allowing for rates of free school meals and special educational needs, in general within a particular school a Black Caribbean pupil is about 2.6 times as likely to be permanently excluded as other pupils.
The corresponding exclusion rate for Black African pupils is 0.83.
Black pupils other than Caribbean and African appear to be excluded at about 2.2 times the rate of other pupils.
- A quarter of the difference between Black Caribbean permanent exclusion rates and the rates for other pupils is associated with differences between schools (e.g. variation in free school meals and special educational needs rates, factors also strongly associated with exclusion rates) and cannot be attributed to differential treatment of, or outcomes for, Black Caribbean and other pupils within the same individual school.
- For some of the new PLASC ethnic categories, information is given on disproportionate exclusions of these groups for whom no previous data were available: these include Irish Travellers, Gypsy/Roma, Mixed White and Black Caribbean and Mixed White and Black African pupils.
- For Asian pupils, exclusion rates were lower than average rates and varied between 0.21 times (for Indian pupils) and 0.68 times (for Pakistani pupils) those for other pupils.
- In the sample of schools analysed more deeply (Sample B – 198 secondary schools), the disproportionality in exclusion rates varied, sometimes greatly, in relation to the age and gender of the pupils involved; for example, the underlying rate of exclusion for 12 year old Black Caribbean girls appears to be 1.9 times the average for 12 year old girls in general, but the underlying rate for 15 year old Black Caribbean boys appears to be about 3.7 times higher than for average 15 year old boys. Schools' analyses of exclusion data by ethnicity and gender may need to look separately at different year groups.

4.1 School exclusions in England

Reducing school exclusions is an important element in the social inclusion and standards agendas and an array of strategies is in place to support schools in these agendas, particularly with groups deemed to be most prone to present behaviour problems, to absent themselves or ‘fail’ at school. There is rightly a special concern with regard to minority ethnic groups in these areas (Gillborn and Gipps, 1996).

‘There were 9290 permanent exclusions from primary, secondary and all special schools in 2002/03, a decrease of 3 per cent from the 9,535 permanent exclusions in the previous year and a decrease of 24 per cent since 1997/98’ (DfES, 2004, p.1). Recorded permanent exclusions overall have risen and fallen over the last decade, as shown in Figure 4.1.

Figure 4.1: Permanent Exclusions from Schools in England 1996-2003



DfES, Statistical first releases 1996-2004

In the published figures for 2002/03 (DfES 2004), using the new ethnicity codes, Black Caribbean pupils were over three times as likely as White pupils to be permanently excluded. Those designated Other Black Background were excluded at a little under three times the rate of White children. Mixed White and Black Caribbean children were excluded at twice the average rate. There were also disproportionate exclusions of Travellers of Irish Heritage and Gypsy/Roma children though the numbers were

considerably smaller, as shown in table 4.1 below, and the data were not sufficiently robust to support analysis at this stage.

Table 4.1: Number of Permanent Exclusions by Ethnic Group 2002/03

Ethnic Group	Number of exclusions	% of the ethnic group
White	6,880	0.12
White British	6,690	0.12
Irish	30	0.1
Traveller of Irish heritage	20	0.51
Gypsy/Roma	20	0.36
Any other White background	130	0.09
Mixed	380	0.22
White and Black Caribbean	180	0.29
White and Black African	40	0.26
White and Asian	40	0.11
Any other Mixed background	120	0.2
Asian	250	0.06
Indian	50	0.03
Pakistani	130	0.08
Bangladeshi	40	0.06
Any other Asian background	20	0.04
Black	590	0.25
Black Caribbean	360	0.37
Black African	130	0.12
Any other Black background	90	0.32
Chinese		0.02
Any other ethnic group	70	0.12
Unclassified	1110	
All pupils	9270	0.13

The numbers of pupils excluded in the three ‘Black’ groups were very small, as indicated in Table 4.1. In 2002/03, 360 permanently excluded pupils were recorded as Black Caribbean. If Black Caribbean pupils were permanently excluded at the same rate as White pupils then the Black Caribbean permanent exclusions in 2002/03 would have been 120. Correspondingly, it would be under 40 for pupils of other Black background.

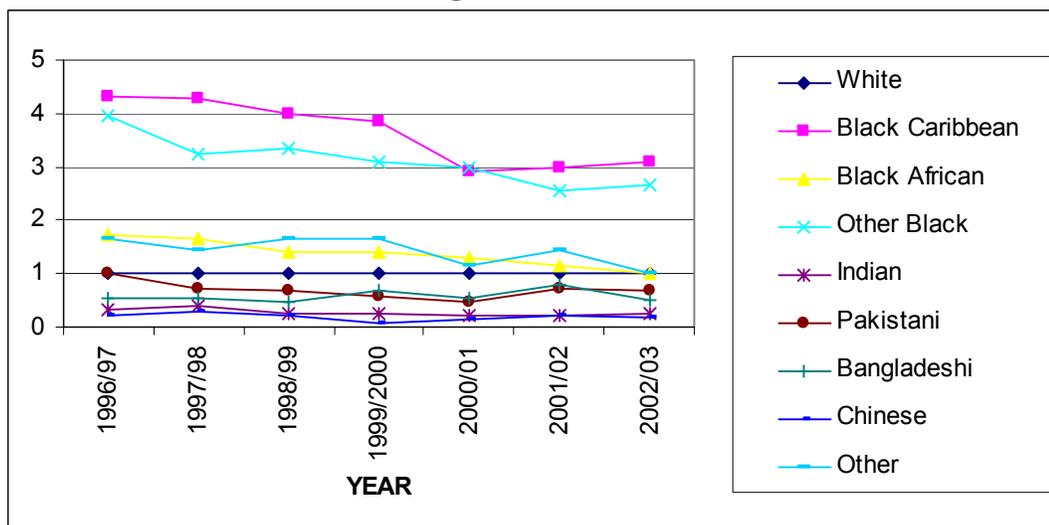
The numbers involved for the two Traveller groups were also small. Within the aggregated total for excluded White pupils, there were only 20 Travellers of Irish heritage

and 20 Gypsy/Roma children who were permanently excluded. These numbers are of real concern, but too small to remain distinct groups in the statistical analysis.

The historical over-representation of Black groups among permanently excluded pupils is plain. Of minority ethnic groups, Black Caribbean children had the largest number of excluded pupils and the highest rate of exclusion (after Traveller and Gypsy/Roma children). They have experienced a consistent drop in their over-representation until a rise in 2001/02. For Black African pupils, there has been a fall over this period and latest figures show they have been excluded at a rate only slightly higher than the rate for White pupils.

Figure 4.2 illustrates the relative pattern of exclusions in recent years. Permanent exclusion rates for each ethnic group are shown in proportion to the rate for White pupils. Consequently, the White exclusion rate appears as 1.0 in each year. Black African pupils were initially (1996/97) excluded at a rate 1.7 times that of White pupils, but in 2002/03 this was reduced to 1.1 times. Over an eight year period, the relative rate of permanent exclusion for Black Caribbean pupils dropped from 4.3 times to 3.1 times and for pupils from Other Black Backgrounds from 3.9 times to 2.6 times the White rate. In terms of racial equality these changes are encouraging, but the remaining levels of disproportionality are still problematic.

Figure 4.2: Permanent exclusion rates for ethnic groups as multiples of White rates in maintained schools in England between 1996/1997 and 2002/03



(Drawn from DfES Statistical First Releases 1998 - 2004)

Over the period analysed, secondary school pupils were permanently excluded at rates between eight and eleven times those of primary school pupils, and special school pupils at rates between one and a half and twice those of secondary school pupils (DfES, 2004, p5). Eighty three per cent of permanent exclusions were from secondary schools (DfES, 2004).

Variation between Government Office Regions is summarised by DfES, 2003: ‘In general, the pattern of change within each region follows the national trend – a steady decrease over the three years from 1997/98 followed by an increase over the next two years with a decrease in the most recent year (2002/03). In each year, the highest rate of exclusion was in London. The lowest rates were in East of England, the South West and Yorkshire and Humber.’

Since 1996/97, between 82 and 84 per cent of permanently excluded pupils have been boys. Over this period, the rate for boys dropped from 0.27 per cent to 0.19 per cent and that for girls from 0.06 per cent to 0.05 per cent.

Despite gaps in the data, there was a clear link between schools with high free school meals (FSM) rates and high permanent exclusion rates. Individual schools with high or low FSM rates often had permanent exclusion rates that defied the trend, but in 2001/02 the average percentage of pupils known to be eligible for free schools meals was 27.2 per cent in secondary schools with exclusion rates higher than 0.8 per cent compared with 11.3 per cent in secondary schools with exclusion rates below 0.1 per cent (DfES, 2003, p16).

A pupil with a statement of special educational needs (SEN) may have learning difficulties or behaviour difficulties or both. The overall rates of exclusion have been far higher among pupils with statements but have decreased in recent years. The rate of 0.48 per cent in 2001/02 was less than half that of 1.11 per cent in 1996/97 but was still about four times the rate for other pupils.

4.2 Differences between LEAs

The database contained 8721 exclusions for 2001/02 and 8135 for 2002/03, about 90% of the national totals. While the mean exclusion rates across the 150 LEAs were 0.13% and

0.12% in the two years, 14 LEAs in 2001/02 and nine in 2002/03 excluded at rates greater than 0.20%.

As well as exclusion rates varying between LEAs, the minority ethnic school population also varied, with higher concentrations of minority ethnic pupils in London and some other urban areas. This meant that the minority ethnic exclusions were concentrated in a few LEAs. Over 60 percent of Black exclusions occurred in just 24 of the 150 (16%) LEAs (all in London). These were LEAs with both 1000 or more Black pupils as well as proportions of Black pupils constituting over 10% of the school population (accounting for 345 exclusions or 63% of the national total of Black exclusions). In 11 of these LEAs the disproportionality in exclusions was greater than 2.

As shown in table 4.2, taking all LEAs with over 1000 Black pupils, 42 out of 51 of these excluded Black pupils disproportionately (2001/02), for 16 of them the disproportionality was greater than 2 with a greater disproportionalities in 2002/03. This increase was at least in part because of the changed ethnicity codes in the second year.

Table 4.2: Numbers of LEAs with large proportions of Black pupils and numbers excluding Black pupils disproportionately

	2001/02	2002/03
Number of LEAs with 1000+ Black pupils	51	45
Number of the above with disproportionate exclusions of Black pupils	42	40
Number with disproportionate exclusions of Black pupils greater than 2	16	22

Focussing on the 45 LEAs with 1000 or more Black pupils (2002/03) showed no significant relationship between exclusions and FSM or SEN; indeed, the association was negative. This was also the case if the concentration was on the 24 LEAs which had both 1000 or more Black pupils and where these also constituted more than 10% of the LEA's school population.

At LEA level, FSM, SEN and ethnic diversity are not strongly associated with disproportionate Black exclusions in LEAs with high proportions of Black pupils. It is interesting to note the near counter-intuitive result from tabulating the high and low Black excluding LEAs against high and low FSM as set out in Table 4.3 below.

Table 4.3: Tabulating Black permanent exclusions against rates of free school meals in the 24 LEAs with Black pupils numbering over 1000 and constituting more than 10% of their school populations

	High FSM <i>(greater than 0.35%)</i>	Low FSM
High Black exclusions <i>(greater than 0.30%)</i>	1	7
Low Black exclusions	9	7

There appears to be a negative association, between high rates of Black exclusions and high levels of FSM entitlement or high levels of SEN in this selection of 24 LEAs with large numbers and significant proportions of minority ethnic children.

4.3 Differences between Secondary Schools

A possible explanation of the national aggregate disproportionalities between ethnic groups is that, within LEAs, minority ethnic pupils might tend to go to schools that are in any case high excluders. The table below is based on the analysis of data on the 3129 secondary schools for the 2002/03 school year.

Table 4.4: Numbers of secondary schools in England by permanent exclusion rates and by proportions of secondary pupils recorded as Black Caribbean.

Permanent Exclusions	Proportion of Black Caribbean pupils			
	Very high	High	Low	Very Low
Very high	209	171	73	329
High	195	212	102	274
Low	131	148	93	181
Very Low	247	251	113	400

The pattern in table 4.4 is not clear-cut. For example, 581 schools had very low proportions of Black Caribbean pupils and low or very low permanent exclusion rates, but 603 schools had very low proportions of Black Caribbean pupils and high or very high exclusion rates.

4.4 LEAs, Schools and Pupils

Multi-level modelling³ allows LEA and school level explanations to be considered simultaneously along with a consideration that, within individual schools, some factors operate which lead to minority ethnic groups being disproportionately excluded. This shows the amount of disproportionality associated with LEAs, with schools and with the ethnicity of pupils within them when each of the others is also taken into account.

Table 4.5 shows the disproportionality calculated for each ethnic group under two conditions: taking the aggregate figures for all secondary schools analysed; taking variation between LEAs and schools into account. The school factors taken into account include rates of FSM, SEN, proportions of each ethnic group and proportions of boys. The differences for many minority ethnic groups are substantial when associated LEA factors and school factors are included in the multi-level modelling calculations.

Table 4.5: Disproportionalities of permanent exclusions for ethnic groups in the populations of all maintained secondary schools calculated (a) using aggregate figures, (b) taking LEA and school ethnic populations in to account.

	(a) Aggregate figures	(b) Accounting for LEA and school differences
White British	0.80	0.85
White Irish	0.63	0.71
White Irish Travellers	3.52	2.34
Other White	0.82	0.79
Gypsy/Roma	4.68	3.29
White and Black Caribbean	2.61	2.30
White and Black African	2.03	1.60
White and Asian	0.91	1.00
Other Mixed Background	1.60	1.47
Indian	0.28	0.21
Pakistani	0.80	0.68
Bangladeshi	0.59	0.43
Other Asian	0.33	0.31
Black Caribbean	3.06	2.60
Black African	1.14	0.83
Other Black	2.90	2.18
Chinese	0.08	0.09

The remaining disparities are still unacceptably high in social policy terms. To go further it is necessary to look at the characteristics of excluded and non-excluded pupils within

³ In this instance log-linear Poisson models with extra-Poisson variance but otherwise using default settings in MLwiN.

schools. This requires the use of individual pupil data from PLASC and makes it necessary to use a smaller sample of schools than the national sample so far analysed. The following section examines factors operating in some schools in some areas where there are fairly large numbers of minority ethnic pupils and fairly high numbers of permanent exclusions.

4.5 A closer look at a sample of secondary schools

The aim of the sampling strategy was to focus on areas where minority ethnic exclusions were likely to be high, but to look at a wide range of schools within those areas, and this is the rationale for sample B. The models derived from this analysis all take account of age and gender as well as the LEA and school proportions of each ethnic group in turn and the ethnicity of the individual pupil. It is notable that, except for Mixed White and Black Caribbean pupils, all minority ethnic groups appeared to be slightly less disadvantaged within these schools than in the national models. However, Black Caribbean pupils were still permanently excluded at 2.6 times the rate of other pupils.

The numbers of pupils from most minority ethnic groups that are permanently excluded are very small and within the sample these numbers are even smaller. For those groups with enough excluded pupils to support further analysis, it is possible to calculate underlying rates of disproportionality for different ages and genders. Even with these calculations, the number of excluded pupils is so small that the individual figures calculated are only approximate. However, for the ethnic groups mentioned below, the overall effect of all the figures calculated was to produce a far more accurate description of the data than that achieved by simply looking at overall secondary school populations.

Table 4.5 shows for Black Caribbean pupils the disproportionality in exclusion rates for boys and girls aged 11, 12, 13, 14 and 15 within schools. Part (a) shows the crude figures calculated from the raw data. For girls in particular, the small numbers involved result in large differences in disproportionality on the basis of small random variation in the number of exclusions that happened to take place 2002/03. Statistical modelling attempts to see through this random variation and seeks underlying trends. Part (b) shows the underlying rates calculated in the statistical models. These underlying rates give a firmer basis for comparison with other ethnic groups and with what happens in other years; but the crude rates show what actually happened in this particular sample.

Table 4.5: Disproportionality in permanent exclusion rates for Black Caribbean pupils within the secondary school sample, by age and gender (a) rates calculated crudely from raw data, (b) underlying rates calculated with statistical modelling.

(a) Crude Rates			(b) Underlying Rates		
	Girls	Boys		Girls	Boys
Aged 11	0.00	2.56	Aged 11	2.04	2.07
Aged 12	2.72	1.76	Aged 12	1.86	1.89
Aged 13	1.73	1.75	Aged 13	1.99	2.02
Aged 14	1.92	2.49	Aged 14	2.49	2.53
Aged 15	3.59	3.11	Aged 15	3.65	3.71

The statistical model in part b above, suggests that Black Caribbean girls are only very slightly less disadvantaged compared with other girls than Black Caribbean boys compared with other boys. It also suggests that the disadvantage is much greater for pupils aged 14 and 15. In other words, at 14 and 15 years, the exclusion rate for Black Caribbean pupils (both boys and girls) is more disproportionate than it was at younger ages.

Black African pupils overall are excluded less frequently than other pupils. However, the disproportionality of 0.72 for the whole sample conceals a large difference between disproportionality for girls and for boys. At age 15, the underlying exclusion rate for Black African girls is about one third that of other girls, whereas the rate for boys is almost as high as that for other boys. In other words, Black African girls are less likely to be excluded than other girls, but Black African boys are as likely to be excluded as other boys.

Pupils from Other Black backgrounds are excluded at higher rates than other pupils, but the overall disproportionality in this sample, 1.87, conceals a difference between higher disproportionality for girls and lower for boys. At age 14, these girls are permanently excluded at 2.33 times the rate of other girls, whereas these boys are excluded at 1.68 times the rate of other boys.

Models were calculated with pupil FSM as an explanatory variable with the aim of detecting any influence of socio-economic status on disproportionality. The results showed it affecting levels of exclusions uniformly across ethnic groups and having no effect on disproportionality within schools. The shortcomings of FSM data have been

mentioned previously. It is possible that a more sophisticated analysis or an analysis using a more effective indicator of socio-economic status would reach different conclusions.

If Black Caribbean pupils nationally were permanently excluded from secondary schools at the same rate as White pupils then, taking account of a range of factors, 110 rather than 285 Black Caribbean pupils would have been excluded. The absence of sound data for investigating the effects of socio-economic status and other social factors probably means that the impact of things other than school policy and practice are underestimated.

4.6 Summary

Disproportionality in exclusions of Black Caribbean pupils has fallen over the last seven years. PLASC data collection arrangements over the period 2002 to 2004 have not been able to support an accurate and detailed analysis of minority ethnic exclusion rates. As yet it is not possible to make any clear statements about pupils of Mixed Background, Travellers of Irish Heritage or Gypsy/Roma children.

There is considerable variation in exclusion rates between different LEAs and within LEAs. The existing data suggest that some of the difference in permanent exclusion rates between Black Caribbean and the rates for other pupils is associated with differences between schools and cannot be attributed to differential treatment of, or outcomes for, Black Caribbeans and other pupils within the same individual school. Even though adequate data were not available to estimate the full extent of this, the analysis shows that at least a quarter of the difference is related to variation between schools. Three quarters of the disproportionality is, therefore, still attributable to policy and action at school level.

Exclusion rates are high in particular areas for all ethnic groups and Black Caribbean pupils are more likely to be living in these areas. However, the analysis showed that, despite this tendency, exclusions of Black Caribbean pupils are not solely a function of social environment. Black Caribbean boys and girls are excluded at about two and a half times the rate of other pupils in the sample analysed. In the sample of schools analysed more closely this disproportionality increased in years 10 and 11. Young people from Other Black backgrounds are also excluded at significantly higher rates, especially girls.

CHAPTER 5: LEAS AND MINORITY ETHNIC EXCLUSIONS

Interviews were conducted with LEA officers in the 12 LEAs of the school visit sample about the LEA role in supporting the implementation of the RRAA in schools and in managing exclusions. The LEAs position were also examined in terms of their exclusion rates, perceptions of causes of and solutions to the disproportionality in minority ethnic exclusions.

Key Findings

- LEAs varied in their exclusion rates and some in challenging circumstances kept exclusion rates and disproportionality low.
- LEAs stated that they provided a great deal of advice and guidance literature. This must aid the conformance with legal requirements of schools. Draft Racial Equality Policies would appear to be of considerable practical help. It is less certain that this will ‘reach’ institutional racism.
- LEAs offered a range of training for heads, teachers and governors. The extent to which this was widely taken up and given priority over other training focuses was not clear.
- Data collection and analysis of the data needed to be improved in some LEAs.
- LEAs had views on what would be successful in addressing minority ethnic exclusions. This included ensuring the ethos of the school was accepting with celebration of diversity; mentoring; schools collecting good quality data about themselves and using it; partnership with parents, especially with Black Caribbean parents; attention to community and home issues; and diversifying the curriculum.
- Inspection, as part of the school improvement activities of the LEA, contained a focus on equality matters, particularly those concerned with minority ethnic attainment, attendance and exclusions. The LEAs also worked with parents and community groups.

5.1 Introduction

Interviews took place with officers from the 12 LEAs in the sample in year one and in the second year with 10 of the 12 officers. DfES statistics on permanent exclusions were examined for each of the LEAs and PLASC data supported the analysis of exclusions by minority ethnic group.

5.2 The sample LEA characteristics and exclusion rates

Table 5.1 indicates that, across the 12 LEAs, Black Caribbean and Black Other pupils were excluded at considerably higher rates. Table 5.2 combines the Black groups, including Black Africans who were excluded at a rate slightly higher than the average, and showed disproportionately scores of 2.07 and 1.88 for the two years.

Table 5.1: 12 LEAs and permanent exclusion numbers and rates by ethnicity

	Total Exclusions	Total Rate	Black Caribbean Exclusions	Black Caribbean Excl. rate	Black Other Exclusions	Black Other Excl. rate
2001/02	1536	0.18	128	0.44	59	0.38
2002/03	1380	0.16	98	0.33	32	0.41

Table 5.2: 12 LEAs and permanent exclusions from PLASC data

	Excl. rate from PLASC	All Black Exclusions	Exclusion Rate	Disproportionality
2001/02	0.17	212	0.34	2.07
2002/03	0.15	156	0.27	1.88

Seven of the LEAs had over 2,000 Black pupils. The disproportionality scores were greater than 1.5 in five of these LEAs in 2001/02 and for six in 2002/03. The LEA with the low disproportionality score for both years had an overall permanent exclusion rate which was much reduced in year 2 (0.12%) with only 14 Black exclusions out of a total of 37. Permanent exclusions had decreased in 10 of the LEAs and increased in two in 2002/03. Only three LEAs analysed data fully, while others were aware that full analysis of their data was still underway.

The LEAs differed considerably in history, levels of disadvantage and ethnic composition. Despite difficulties in making comparisons, it would appear that some LEAs were more successful at working with their schools to reduce permanent exclusions, reduce minority ethnic exclusions as a targeted group and thus in keeping disproportionality low.

5.3 Monitoring, support and training

Of the twelve LEAs visited, eleven had a race equality scheme published and accessible on the website. The quality and quantity of text varied, as did the ease of access. Three of the sites gave a scheme, information for schools on their duties under the RRAA, general guidance for schools on ethnicity issues, training available for teachers and governors on ethnicity issues and useful links or contacts where schools could go for further help. One had a collection of information for governors. The uptake of courses was voluntary and the most successful LEA had trained 50% of staff and governors on the RRAA.

LEAs reported that they tried to be proactive. LEAs were aware of the needs of the local communities and tried to put in place strategies to encourage schools and communities to become involved with each other in a positive way. Specific ways in which LEAs reported that they supported schools in their race equality work, particularly in relation to the RRAA were:

- sending model policies;
- providing resources and information e.g. on pupil mobility and refugees;
- checking how far schools have progressed in implementing the requirements of the RRAA, seeing they have race equality policies in place and an action plan and checking their targets and analysis of data;
- training on race equality matters for staff and governors;
- advisors visiting schools;
- working with the school governors' service and providing training courses;
- raising awareness by working with parents, support groups and community groups – e.g. by holding termly forums for the schools and community and facilitating links with other local schools.

Interviews in schools indicated some variation in the degree to which schools acknowledged being recipients. In particular, the setting and checking of targets and the gathering and analysis of data about outcomes by ethnicity were not well established in schools, regardless of the claimed efforts of LEAs.

Six LEAs did not provide any publications specifically about minority ethnic issues; but guidance on such issues and exclusions was within other publications. Three LEAs had several publications specifically about exclusions and minority ethnic matters.

The DfES requires all LEAs to set attainment targets and targets for all minority ethnic cohorts, except where there are fewer than 30 pupils in a specific group. Monitoring data were used to set targets and interventions for minority ethnic groups and their educational provision. There was the possibility of setting targets for the reduction in exclusions by ethnicity, but this was not evident in any of the LEAs.

5.4 Strategies and initiatives to tackle exclusions

Successful strategies used by schools, and promoted by the LEAs, to raise achievement and promote social inclusion of minority groups included:

- developing the ethos of the school, the ability to celebrate diversity, raising self esteem and giving quality time to pupils
- mentoring programmes (especially the use of Black mentors for Black pupils)
- the ability of schools to collect good data and use it
- partnership with parents especially with Black Caribbean parents
- diversifying the curriculum (eg alternative provision at KS4)
- focus on the community and home issues
- the use of PSPs
- new admissions policy to distribute excluded pupils between all schools
- use of PRUs
- the use of inclusion units including the use of therapeutic groups and mentors.

All LEAs said they had sent out new guidance reflecting the RRAA when it had appeared. Advice about reducing exclusions can be delivered through a variety of routes and came via the Behaviour Support Service in one LEA.

Schools which were part of well-funded initiatives could be expected to respond quickly to behaviour problems in school and BIP schools had the finance to make immediate provision for excluded pupils; two BIP LEAs were facilitating pairs of schools working together to provide respite for each other. This was used as an alternative to fixed term exclusion where possible. The role of elected members and officials was important in receiving reports on exclusions and there was usually an annual report on these figures to the cabinet.

There were Education Action Zones (EAZ) in six of the LEAs. The majority of these LEAs thought that EAZs had done little to reduce exclusions. Excellence in Cities (EiC) schemes were functioning in nine LEAs and were regarded as successful in most. They were perceived as good for gifted children, financed training for PSPs and the setting up of social inclusion units. The Behaviour Improvement Programme (BIP) was funded in six of the LEAs and exclusions were reducing. Staff specifically for inclusion work had been appointed. The Leadership Incentive Grant (LIG) was being paid to schools in 10

LEAs. The Pupil Retention Fund (PRF) had a huge impact at first but not for financially secure schools which would rather exclude. This initiative ended in 2003 and was felt to be most effective by many of the LEAs. Some of the LEAs kept a system in place to remove funding from a school when a pupil was excluded. Four of the LEAs received very little extra funding.

None of the LEAs said they felt the initiatives had an impact specifically on minority ethnic issues. One LEA officer said 'LSUs have not had an overwhelming effect on reducing the number of pupils excluded, nor on the number of minority ethnic pupils excluded'.

Some LEAs carried out evaluations of strategies such as mentoring and the use of LSUs, but often fairly informally. There was seen to be a need to evaluate and monitor by ethnic group and look for common strands, check where there were interventions and the targeting of them.

5.5 Ofsted inspection reports

In the 12 Ofsted reports on the LEAs, produced between 2000-2004, the general picture was of the increasing number and diversity of the minority ethnic population. The Ofsted reports recorded that LEAs were developing more links to communities to combat racism and promote inclusion, cultural harmony and the celebration of diversity. Following the Macpherson report, the procedure to report racist incidents was tightened up. Data collection by LEAs was improving and in some cases it was very good but there was an awareness that there is a need to collect and analyse data more efficiently and to use the results of analysis to set targets. All the reports emphasised the need to raise the achievement of minority ethnic pupils but there was insufficient indication of the disproportionality of Black minority ethnic exclusions in most of the reports. In four reports, reference was made to how effective monitoring had shown reduced exclusions, in one case 'reduced the rate of exclusion for African and Caribbean pupils to below the national average'. The over-representation in exclusions of Black and mixed race groups was referred to in two further reports and another mentioned that data were not analysed sufficiently well to give guidance or set targets.

Although the reports approached the issue of disproportionality in minority ethnic exclusions they did not do this in all cases, nor give it prominence or draw out the requirements and benefits sufficiently. In that disproportionality in exclusions of Black pupils has reduced significantly over the past four years, this could be an area of some congratulations as well as motivation for further effort.

5.6 Summary

The distinctive LEA effect in reducing exclusions was evident in that some were keeping rates low, and keeping the disproportionality in minority ethnic exclusions low. Schools have recognised the support of their LEAs and the coordination of projects like BIP and BEST across a number of schools. Some preventative schemes require a ‘broker’ to ease negotiations with schools eg with ‘hosting’ a child at another school instead of excluding. At best, LEAs intervene early and coordinate well across their schools, though the relative power of LEAs and their schools is highly negotiable.

LEAs provided guidance, training and support as well as collecting data from schools and producing reports on the local situation. Local inspections or school effectiveness reviews in some cases reviewed schools’ performance in managing behaviour difficulties, minimising exclusions and addressing minority ethnic issues.

LEAs promoted a range of initiatives and coordinated work across EiC, EAZ and BIP and certainly had views on what worked to reduce exclusions. There was variation in the extent to which the LEAs felt minority ethnic exclusions should be targeted, instead of exclusions overall, and none thought any of the nationally funded schemes had much effect on specifically minority ethnic exclusions. LEAs encouraged parental and community involvement.

Ofsted/Audit Commission inspections of LEAs did not deal consistently with minority ethnic disproportionality and a small number only referred to this in relation to exclusion.

CHAPTER 6: SECONDARY SCHOOLS AND MINORITY ETHNIC EXCLUSIONS

Based on data from 50 secondary schools, the chapter examines the impact of the RRAA and the school policies for race equality. It considers the initiatives in place to address minority ethnic exclusions and the extent to which schools are performing appropriately to monitor disproportionality, devise positive action and establish stronger community and parent collaboration.

Key Findings

- In some secondary schools there was evident success in addressing exclusions and a range of initiatives targeted at reducing permanent and fixed term exclusions with special attention directed at minority ethnic pupils.
- Some schools did not appear to be fully compliant with the specific duties laid upon them by the RRAA, particularly in terms of assessing and monitoring the impact of policies by ethnic group and considering positive action.
- For most of the schools in the visit sample (43 out of 50), there were permanent exclusion data for both years of the study (86 data sets) and in 29% of responding schools (25), Black pupils were permanently excluded at twice the rate of other pupils.
- In 36% of cases, where schools supplied fixed term exclusion data (73 data sets), Black pupils were excluded at more than twice the rate of other pupils.
- From the excluded pupil audit data, fewer excluded Black pupils had attendance problems and fewer were on the higher levels of the special educational needs code of practice.
- For Black pupils, the reasons for exclusion were more frequently given as being excluded for offences related to violence, usually against other pupils, and less likely to have been excluded due to classroom disruption.
- Twenty percent of schools (10) were deemed to be demonstrating a good awareness of the RRAA and developing policies in accordance with the Act. REPs were in place and all staff and governors had received some training for the RRAA. Effective liaison between the school and the community was made and specific projects were set up for minority ethnic pupils. The school addressed the disproportionality issues, and strategies were set up to reduce under-achievement in some minority ethnic groups.
- Forty four per cent of schools (22) were considered to be making good progress in collecting and analysing their data, had some training, initiatives to address exclusion and sought ways to involve parents.
- In 28% of schools (14), policies in line with the RRAA and initiatives were developing. Many statistics were collected but not all analysed. Community links could be developed further to encourage parents to support the school.
- Eight per cent of schools (4) were often struggling with a range of issues, did not show full understanding of the RRAA and few staff and governors have been trained for the RRAA. Schools' community links were not well developed. School data were collected but not fully analysed.
- While all schools had a race equality policy, only a minority had an associated action plan. Race equality within the equal opportunities policy may hinder the development of positive action to address inequalities in exclusion rates.
- The race equality impact assessment process did not appear to be well understood by schools (despite national guidance and LEA inputs) as a process of gathering and analyzing data about pupil performance by ethnicity and discussing differential outcomes for minority ethnic pupils.
- Many schools had a range of initiatives in place which were working to reduce exclusions and enable schools to manage behaviour difficulties. Additional funding had allowed the schools to extend their roles and engage in more preventative work, some of it targeted at minority ethnic groups.
- Links with communities were generally not well developed and further progress could be made in using a range of outside agencies.
- None of the seven Ofsted inspection reports published on secondary schools in the visit sample since September 2003 commented on disproportionality of minority ethnic exclusions, which was evident in the tables published in six of them.

6.1 Introduction

This chapter examines quantitative data on secondary schools nationally and exclusion and other quantitative data on the visit sample secondary schools, which covered a range of secondary schools with significant proportions of minority ethnic pupils. These data sets provide the foundations of the study, together with data from chapter 4. The analysis of qualitative data from fieldwork visits to 50 secondary schools, 40 of which were visited in the second year, points to what makes a difference.

The basic data gathering in schools covered exclusion figures, fixed term and permanent, numbers of minority ethnic pupils in the school, an audit of a systematic sample of ten excluded pupils and an account of funding for inclusion projects. Interviews recorded views on the challenges faced by the school, the implementation of the RRAA and about monitoring of behaviour, exclusion and attainment by gender and ethnicity. The perception of the head or senior member of staff of the strategies in place and the impact of special funds was also recorded.

The data were analysed to arrive at a judgement of each school's position with regard to implementing the RRAA and addressing disproportionality in minority ethnic exclusions. The four point scale ranged from schools which displayed little knowledge of the requirements of the RRAA, did not systematically analyse data about their pupils by gender and ethnicity and had few initiatives to address exclusions, to the other end of the scale where schools were fully tuned in to the Act, scrupulously analysed data which fed into decisions and had initiatives to address exclusions, especially minority ethnic exclusions - and evaluated these. The chapter also gives an overview of race equality policies and their application.

6.2 Statistics on secondary school exclusions and ethnicity

National statistics

In 2001/2002 and 2002/2003, the permanent exclusion rates for secondary school aged pupils in England were 0.24% and 0.23% respectively. The permanent exclusion rates for these two years for Black Caribbean pupils were 3.13 and 2.97 times higher and for groups with Other Black Backgrounds 2.43 and 2.88 times higher. Mixed heritage groups in 2002/03, mixed White and Black Caribbean and mixed White and Black African, were

excluded at more than twice the average rate. No figures were available nationally for these periods for fixed term exclusions disaggregated by ethnicity.

The disproportionality score for the three Black groups combined was 2.28 in 2001/02 and 2.17 in 2002/03. For the combined 'Mixed' group, much larger in the second year due to code changes, the disproportionality score was 1.86 but for the mixed White and Black Caribbean alone it was 2.58 (122 permanent exclusions).

Permanent exclusions in the visit sample schools

Over half of the schools in the sample would be classified as 'facing challenging circumstances'. Six were, or had recently been, in 'serious weaknesses' or 'special measures' following Ofsted inspections. In 16 of the schools, 25% or fewer pupils achieved 5A*-C grades at GCSE and ten of the schools had 50% or more free school meals entitlement (2002/03 school year).

Data were available on pupils in these schools through PLASC for permanent exclusions for both 2001/02 and 2002/03. Overall, the rates of permanent exclusion calculated across all the pupils in these secondary schools fell from 0.46% to 0.37% putting the rates at about twice the national average for secondary school pupils. For Black pupils in these schools, the rates were higher at 0.71% and 0.53% respectively, but the fall over the two years was greater for minority ethnic pupils than for the population as a whole. There was a reduction in 27 of the 43 schools for which there was data over the two years (63%).

The numbers are too small to comment reliably on disproportionality of permanent exclusions at school level. It is therefore done with caution and mainly for illustrative purposes. Eighty six sets of data were available (i.e. 43 of the 50 schools for both years) and in 25 cases there was a disproportionality score greater than two. To show the chance outcome of this calculation, one school excluded one Black pupil out of its total of four exclusions and the calculated disproportionality score was 3.2; the following year, of the two pupils excluded, none was Black resulting in a disproportionality score of zero. In matters concerned with permanent exclusion, calculations will always be in terms of small numbers. Only an overview of the varying disproportionalities within individual schools can provide firm evidence for systematic inequalities in outcome for different ethnic groups and thus for institutional racism. Schools need to grapple with the fact that

disproportionality may be masked or exaggerated by fluctuations in the actual numbers of pupils excluded within each ethnic group.

Fixed period exclusions in the visit sample schools

For fixed period exclusions, the numbers were much larger. Data were collected from each of the schools. Though sometimes given as individuals and sometimes as incidents, not always with an indication of which, the ratios between ethnic groups should be constant.

For the 77 school returns from 50 schools over two years, the rates of fixed period exclusions overall were 10.6% in 2001/02 and 8.6% in 2002/03. For Black Caribbean pupils, the corresponding figures were 19.2% and 17.6%. For the three Black groups combined the rates were 16.7% and 15.1% with respective disproportionalities being 1.6 and 1.7. Fixed term exclusions were a frequently well used disciplinary device with 4052 instances across the 41 schools making returns for 2001/02 and 3009 for the 36 schools which did so for 2002/03. In the 33 schools for which there were consecutive sets of fixed term exclusion data, rates were reduced in 21 (64%). In 14, Black exclusion rates were reduced.

Table 6.1: Disproportionality in Permanent and Fixed Term Exclusions for Black Pupils in the Visit Sample Secondary Schools with 100+ Black Pupils

	Disproportionality			Total
	None	1 - 2	2 - 3	
2001/02 Permanent	17 (47%)	7 (19%)	12 (33%)	36
2002/03 Permanent	15 (50%)	7 (23%)	8 (27%)	30
2001/02 Fixed Term	5 (17%)	17 (57%)	8 (27%)	30
2002/03 Fixed Term	5 (19%)	15 (56%)	7 (26%)	27

Disproportionality in Black exclusions was calculated by dividing the Black exclusion rate by the overall exclusion rate for a school. Examining disproportionality in permanent and fixed term exclusions in the visit sample schools with over 100 Black pupils and for which fixed term exclusion data were available, in about half the schools there was no disproportionality in permanent exclusions, as shown in Table 6.1. For fixed term exclusions, this was the case with only 20% of the schools. About a quarter of the schools had disproportionality scores for permanent exclusions of between one and two ie. up to

double the overall rate and over a quarter exceeded this. For fixed term exclusions, disproportionality was more severe with over 50% excluding Black pupils at up to twice the overall rate and over a quarter at higher rates of disproportionality.

Audit data on secondary school exclusion cases in the sample schools

The analysis below is based on 372 excluded pupil audit sheets from 39 schools for 2001/02 and 300 from 33 schools for 2002/03. The secondary excluded pupil audit sheets were examined for differences between ethnic groups in terms of background, attainment and exclusion experience. Table 6.2 shows that the two years differ in terms of the balance of genders and ethnicities. The data were received in a way that did not allow a finer grained classification of pupils and, therefore, tables 6.2 – 6.4 mask differences between ethnic groups within the main categories.

Table 6.2: Ethnicity and Gender of Excluded Pupils (Audit Sheets)

	2001/02			2002/03		
	Boys	Girls	Total	Boys	Girls	Total*
White	97	52	149	79	48	127
Mixed	20	21	41	16	16	32
Asian	28	6	34	32	4	36
Black	71	52	123	63	29	92
Other	9	9	18	3	0	3
Total	226	140	366	193	97	290

** Totals may not add up because of missing ethnicity or gender data.*

There was no systematic difference across ethnic groups in the ages of pupils excluded with older pupils in all groups more frequently excluded. The Black pupils were more likely to have attended more than one other secondary school (20% in 2002/03). Fewer of them came from two parent families (17.6% in 2001/02 where mean is 22.3%; 22.8% in 2002/03 where mean is 27.7%). Family involvement with the school was no more or less likely to be recorded as positive, nor were excluded Black pupils consistently over the two years more likely to be eligible for free school meals.

Compared with other excluded pupils, proportionately fewer Black pupils had attendance problems, fewer were identified with School Action Plus or a statement, as set out in Table 6.3 below. Fewer had Individual Education Plans (IEPs) for learning or for behaviour.

Table 6.3: Special Educational Needs and Ethnicity

	2001/02		2002/03	
	% No SEN or school action	% school action plus or statement	% No SEN or school action	% school action plus or statement
White	57	39	59	28
Mixed	71	22	72	19
Asian	70	29	70	19
Black	77	29	69	17
Other	67	33	67	0
Overall	64	32	75	25

Only a minority overall had IEPs for learning: 12% in 2001/02 and 17% in 2002/03. Larger proportions had IEPs for behaviour, 31% in 2001/02 and 24% in 2002/03. Black pupils were less likely to have these than White pupils. There appeared to be no systematic differences in other inclusion strategies for pupils nor in the application of Pastoral Support Programmes, which appeared fairly low at 31% in 2001/02 and 20% in 2002/03.

Community links available to, or used by, the school in relation to exclusions, were registered as few. Links with other services to support a pupil at risk of exclusion were not regularly cited by secondary schools - in contrast with the situation in primary schools.

There appeared to be very little difference in the academic attainment of the different ethnic groups in the excluded pupil audit data for both years. There was little difference between ethnic groups, in the average number of exclusion incidents per individual or in the average number of days per exclusion per individual. In terms of reasons for exclusions there were some notable variations. As Table 6.4 shows, violence towards pupils and violence towards staff were higher for Black pupils but persistent disruption lower.

Table 6.4: Reasons for exclusion by ethnic group

		Violence towards pupils		Persistent mis-conduct		Verbal abuse		Violence towards staff		Drugs/alcohol		Weapons	
		N	%	N	%	N	%	N	%	N	%	N	%
White	2001/02	38	25	53	35	39	26	9	6	6	4	2	1
	2002/03	37	29	47	37	26	20	4	3	6	5	1	1
Mixed	2001/02	16	39	12	29	10	24	2	5	2	5	2	5
	2002/03	13	41	12	38	5	16	0	0	0	0	1	3
Asian	2001/02	12	35	6	18	7	21	0	0	1	3	0	0
	2002/03	17	46	9	24	20	19	3	8	1	3	2	5
Black	2001/02	60	48	30	24	34	27	11	9	2	2	1	1
	2002/03	33	41	26	28	18	20	6	7	4	4	1	1
Other	2001/02	10	56	2	11	3	17	0	0	0	0	0	0
	2002/03	1	33	0	0	0	0	0	0	1	6	0	0
Overall	2001/02	139	37	104	28	94	25	23	6	11	3	5	1
	2002/03	113	38	95	33	56	19	14	5	12	4	5	2

6.3 Race Equality Policies

Copies of the race equality policy were received from 36 schools and by the end of the second round of visits completed in May 2004, there were assurances that all schools had one though it sometimes formed part of an equal opportunities policy or inclusion policy.

The commitment to promote racial equality and good race relations was evident in all these policies: to ‘foster tolerance...promote racial harmony’. Few policies extended to statements about examining progress and attainment, behaviour, discipline and exclusions, partnerships with parents etc as the CRE (2002e) guidance proposes. From the school action plans seen (22), there were few which alluded to specific *action* on minority ethnic matters although a number of head teachers in interview pointed to a range of efforts within their schools to address under-achievement and poor attitude related to ethnicity.

A small number of schools documented specific action such as ‘addressing the achievement of under performing groups’ or ‘to develop the monitoring by faculties of attainment by ethnicity, gender etc’ with a success criterion of ‘the proportion of students from minority groups who are under-achieving relative to the rest of the school halved in SATs/GCSE’. In neither of these cases or in any other was the over-representation of Black pupils in exclusion figures mentioned though disproportionality was evident for permanent exclusions in 50% of the visit sample schools and for fixed term exclusions

for 80%. This is set out in Table 6.1 for those schools with over 100 Black pupils for which data were available. In one school, the social inclusion working party noted that, though the number of permanent exclusions had been low over the past three years, they were ‘mostly Black, Asian, looked after children and those identified as having special educational needs’. Concern was expressed that this ran counter to the inclusion policy.

Schools were more likely to examine the curriculum for *content* which related to a range of minority ethnic groups. A number of head teachers and senior staff remarked that the revision of the race equality policy had ‘sharpened our practice’, ‘made us look at all groups of children’. However, schools did not include the race equality policy in the folder of papers going to prospective parents, many of the documents did not elaborate on monitoring and none referred to positive action. The concern is that school race equality policies rarely relate to goals in improved outcomes in attainment levels and never to reduced disproportionality in exclusions. Indeed, in twenty two per cent of schools, headteachers when interviewed said they did not provide anything specific for minority ethnic pupils; most added that all their pupils were treated as individuals.

Head teacher comments on the race equality policies included the following:

‘Now part of the development plan. Analysis of exclusions by race has already been embedded for a number of years. Also analysis of performance data to look at achievement against ethnicity, amongst other factors’.

‘We have not seen a need for dealing any differently with people due to race, only for difficulties arising from linguistic differences’.

‘Monitoring is impacting on practice in areas of behaviour and exclusions. We are beginning to assess the race impact of policies being developed’.

6.4 School staff and ethnicity

Teaching staff were not generally representative of the ethnicity of the pupil population. Support staff were more representative, often recruited from the local area. This is represented in table 6.5 below. Some schools would like to recruit more minority ethnic staff, particularly Black males of Caribbean heritage. Half the schools said no issues arose from the ethnicity of the staff. Where minority ethnic staff spoke languages other than English, their skills were valuable for liaising with the home.

Table 6.5: Minority Ethnic Staff and School Intake

	Teachers	Teaching assistants	Total number of schools
Reflective of school intake	18	22	50
Not reflective of school intake	32	28	50

Half of the schools said they had no issues arising from the ethnicity of staff in the schools, Five stated that the minority ethnic staff were used the same as everyone else. Six schools needed more minority ethnic staff particularly black teachers; one school stated the need was for African Caribbean teachers. Three schools wanted more minority ethnic staff in senior positions. Two schools wanted more male minority ethnic staff. Although schools wanted more minority ethnic staff they wanted quality staff. Comments included:

‘We are not into tokenism’.

‘We use our staff appropriately’.

‘This is a Catholic school; not all our teachers are Catholic so the staff are not reflective of the school intake’.

‘Teachers have issues of racism and ethnicity’.

‘There is a need to address ethnicity issues very gently, because of the fear of a backlash’.

‘The issue is to get staff at all; some agency staff could not cope and new staff including Commonwealth teachers need induction training’.

The overall need was for quality staff, and minority ethnic and other staff would have been appointed for their professional skills. Therefore, where schools do not have a staff that matches the ethnic mix of pupils, it is not in itself an issue.

6.5 Initiatives and approaches to tackle exclusions

There was a huge range of projects and initiatives running in the schools and these were designed to improve social inclusion. Funding was available from initiatives related to the DfES *Standards Fund* and the Home Office *Street Crime Initiative*, amongst others.

Special educational needs provision supported pupils through individual education plans (IEP), pastoral support programmes (PSP) and internal inclusion units (11 schools).

Specific programmes put in place included social skills courses and anger management training (2 schools), mentors (8 schools), a counsellor (1 school) and assertive discipline (3 schools). Other support mentioned was from groups from the minority ethnic communities, several specifically for African Caribbeans (sometimes through the church), another for Somalis. There was also a weekly Black boys' group and support arrangements for pupils returning from exclusion.

Approaches to school discipline varied. Some schools reported using a tariff system for punishment and others stated that they judged each case as it arose. The number of days excluded would depend on the number of previous offences, though some schools had a standard penalty for an offence. Reasons for reducing the number of days excluded could be because of the stage of education, care issues, the inappropriateness of the curriculum causing the pupil to behave badly, the extent of support from parents. Five schools used an on-site inclusion unit instead of issuing fixed term exclusions.

Permanent exclusions were reserved for incidents of violence in most cases, usually when against other pupils. The most common offences incurring fixed term exclusions were violence, fighting, for being involved in a number of incidents, refusing to follow a teacher's instructions and rudeness to teachers. Governors reported that their main role was to monitor and question decisions on exclusions. They were involved with the staff and pupils to see they were supported in terms of the fairness of decisions and in any measures that might need to be considered in relation to reintegration.

There was great variety in the way schools expressed what worked, as set out in table 6.6.

Table 6.6: What is perceived as working well with minority ethnic pupils

	Number of responses
Treat everyone the same	5
Good relationship with parents	4
Mentoring	4
Spend time talking to minority ethnic pupil	3
Role model	3
Knowledge of culture, shown in assemblies, lessons and celebrations	3
Focus on the positive	2
Good racial mix of staff	2
High expectations, no excuses	2
Support through EAL	1
Community Department	1
Good relationships with staff	1
Counselling that is needs-based	1
'Up front' honesty on issues	1
Good relationships with pupils at their level	1
Language support	1
Raise self esteem (parent and child)	1

Inclusion as a general principle was mentioned by staff in the majority (64%) of schools. Inclusion units varied from the room where a child could be isolated to a unit that was supportive and therapeutic. In some cases the use of inclusion strategies had resulted in a very significant drop in fixed term exclusions. Forty per cent of the schools had mentors. There were Black mentors for Black minority ethnic pupils; three schools employed the Black mentors from a private agency. There were learning mentors, teaching mentors and mentors only for boys. One school had set up a peer mentoring service. Some schools employed counsellors (5) or therapists for art and drama (2).

Table 6.7: Funding available in the 50 secondary schools

Funding	Number of schools
Excellence in Cities	34
Behaviour Improvement Programme	12
Education Action Zone	10
Ethnic Minority Achievement Grant	31
Leadership Incentive Grant	15
Behaviour Education Support Team	3
Aiming High	3
Aim Higher	4
Other	2

Table 6.7 lists a range of initiatives. Most of the 10 highest rated schools (see section 6.9) had a higher proportion of the funding (4 out of 10). They were in receipt of EiC and BIP and LIG or another significant sum. These schools had, by and large, lower fixed term exclusions, lower rates of permanent exclusion and lower disproportionalities.

In some schools considerable effort was put into setting up a meaningful dialogue with families, especially Black Caribbean families. One school had set up an induction meeting just for Black parents.

Three schools reported giving the pupils a voice through school councils and consultations and listening to what they had to say. Three schools were investigating learning styles and teaching methods to better meet the needs of the pupils. Some schools said they sought ways to deliver more positive messages to families and children. Schools were running groups to raise self esteem, give behaviour and social skills training, work on anger management and behaviour issues and a restorative justice system⁴. Two schools worked with children in the primary phase to make the transition to secondary school easier and were able to identify vulnerable children.

Regular reviews of IEPs and PSPs, with meaningful targets set, were seen as a very effective strategy by 11 schools. Moving away from exclusion was seen to require a proactive stance such as break time activities, clubs in school hours and after school, an awareness of what was going on during breaks as well as strategies in the classroom. Much work was being done in schools with boys, especially underachieving Black Caribbean or White boys, to involve them in a range of activities and to support their studies.

Table 6.8 indicates the arrangements made by some schools which avoided exclusion but relocated the pupil. Alternatives to exclusion, but as a substitute for mainstream school, were sometimes accessed through Connexions. The alternative provision could take the form of part-time school with a college placement, full time placement in college or KS4 vocational activities. The school could organise a managed move for a pupil to another

⁴ Restorative justice involves conferencing where the ‘offender’ agrees to meet with those offended against and other parties, confronts the offending behaviour, considers how to repair the situation and what help is needed to avoid the unwanted behaviour in the future.

school or to a PRU to prevent exclusion. If there were to be a return to the school from another unit (internal or external), support could be put in place when the pupil returned.

Table 6.8: Alternatives to exclusion

Alternatives	Number of schools
PRU	23
Part time schooling	33
Managed moves	30
Internal exclusion unit	26

Schools used many different outside agencies such as Connexions, the Youth Offender Teams/Youth Offender Service, the police (three schools had on-site police officers), Social Services, the Educational Psychology Service, the Behaviour Service and the Educational Welfare Service for attendance issues (some schools used an agency for first day calling). Agencies for minority ethnic pupils were used, particularly for the African Caribbean community and sometimes for the Asian and Somalian communities, where parents could voice their worries and receive advice.

6.6 Monitoring by pupil characteristics

Schools were adequately equipped with IT equipment for monitoring pupils. PLASC requirements mean schools will have age, gender, ethnicity, special educational needs status accessible and recorded on school management systems and can relate these variables to attainment, attendance and exclusion. Few schools in their analysis of pupil data demonstrated that they went beyond an analysis of pupil gender and attainment.

The RRAA places a duty on schools to monitor the impact of policies. The race equality impact assessment (REIA) is a tool promoted in the Commission for Racial Equality RRAA guidance to schools and encourages explicitly the monitoring of school data by ethnicity. However, interviews with school staff indicated that the REIA was not widely used. Comments from the senior teachers and head teachers included:

‘It will help to analyse all data against ethnicity and gender, which will help to influence policy and practice’;

‘It will allow the school to target support’;

‘We will be aware of the greater proportion of ethnic minority students excluded’;

‘It will confirm some ideas we already have’;

Most of the comments were positive. Only two were negative:

‘The school’s assessments are comprehensive so we don’t need a race impact assessment’;

‘I don’t know how it will be of use’.

Monitoring school data by pupil characteristics was varied, with many having collected the data, without analysing or interpreting patterns. Under half the secondary schools appeared to monitor major aspects of school functioning and outcomes by gender and ethnicity. Only 10% analysed such practices as referrals to the LSU, entries in the behaviour log and bullying by ethnicity and gender. In interacting with staff managing databases and in interviews with head teachers, the research team formed the view that moderately sophisticated treatment of pupil level data was beyond the skill level of most administrative staff e.g. to produce, in tabulated form, from the database by year group, gender, FSM the key stage attainment data. To analyse attendance, discipline and exclusion by gender and ethnicity (and possibly FSM and looked after status) appeared to be rare. In response to questioning on this, some head teachers and senior staff said, ‘we could do!’

Good practice example

The school monitored exclusions and reasons for exclusion by ethnicity and gender and the results were kept consistently under review. Monitoring was also in place for punishment, racial harassment, bullying, referrals to learning mentors, referrals to the LSU and truancy. By closely monitoring the problems and the interventions to address them the school hoped to build on its ability to recognise and respond appropriately to discipline and exclusion issues.

For the most part, the situation mirrors the account given in section 6.3 about the use of policy documents, that racial equality monitoring is weak, inhibits a clear understanding of disparities and prevents positive action.

Many (40%) of the schools referred positively to the role of monitoring to assist in the development of policy and practice e.g. in behaviour and curriculum management, alternative placements, early intervention and the highlighting of issues. The difficulty schools had in producing data for the research indicated that data were not in most cases readily available or well-used.

Forty four per cent of schools said they monitored most school data by ethnicity and gender. Most schools do some monitoring by ethnicity and gender but such monitoring is done in a few schools without analysing the data. Some monitoring is by ethnicity only, not by gender. The lack of thoroughness and comprehensiveness of the monitoring and review is a cause for concern.

6.7 Parental Cooperation, Community Relations and LEA Support

In more than one third (36%) of schools, it was reported that parents were very or fairly involved with the school, whilst just over one quarter (26%) said that they were not very or hardly at all involved. In cases where there was a problem with a pupil at school, in almost three quarters (70%) of schools staff interviewed said that they contacted the parents immediately, if the pupil was at risk of exclusion. Almost one half (46%) of schools invited parents to a meeting or meetings. Schools tried to involve parents in a range of ways, including discussions about the way forward, involvement in PSPs and reviews and home visits. Only one school reported that they contacted the parents to celebrate cases of pupil success.

Community groups were not used extensively by schools but there were some outstanding examples of involvement by some minority ethnic community groups, to advise, to provide materials or to mediate. It appeared that there was much more that could be done to liaise with community groups for their mutual benefit.

A huge majority (92%) of schools provided positive responses to questions about LEA support. Support from the LEA included a draft race equality policy to adapt (40%), and advice, information and training (48%). Two schools said that the LEA was always willing to visit them, and four said that there was always someone at the LEA who could be contacted. One school said that an LEA advisor visited the school to ensure compliance with the RRAA. In two schools, it was said that the LEA was 'doing nothing really', and two schools said that the LEA was 'not helping much with the RRAA'.

More practically, co-ordinating work on implementing the RRAA in schools across the LEA was seen as fairly weak with only 10% of schools responding positively. On monitoring schools' implementation of the RRAA, only 10% of schools responded

positively. However, almost one quarter (24%) of schools said that good practice in race equality was very much on the LEA agenda.

6.8 Ofsted Inspection reports

It was surprising that there was generally very little commentary accompanying the data presented in Ofsted inspection reports on minority ethnic differences. Ofsted school Inspection reports set out fixed term and permanent exclusion numbers by ethnicity giving numbers of each group in the school (part of the Macpherson Report recommendation 68). An examination of the reports since September 2003 for the schools studied in this research (7 secondary) revealed no commentary on disproportionality in exclusions even where evident in the tabulated figures for six of the schools. Schools provide attainment data by key stage and *could* provide them by ethnicity and gender, but this would not appear to be the norm. The ‘relatively low profile given to issues of race equality in inspection reports’, described by Osler and Morrison (2002), remains the case in 2004 in the sample of schools studied in this research.

6.9 School ratings and case studies

The 50 schools were rated, on the basis of the interview and quantitative data collected according to the process outlined in chapter 3. The results of the rating were:

Rating 1:	4 schools (8%)
Rating 2:	14 schools (28%)
Rating 3:	22 schools (44%)
Rating 4:	10 schools (20%)

This section reviews the nature of the schools in the four categories. One cameo is presented for the lowest rated school and a fuller case study of one of the highest rated schools, to draw out the components that make a good school in relation to the RRAA and addressing disproportionality in minority ethnic exclusions.

Description of schools rated 1

These four schools were poorly developed in relation to the RRAA. One was an inner city school in special measures with many of the problems associated with their location and status – difficulty in recruiting staff leading to the use of unqualified staff, high

mobility of pupils, pupil vacancies making it a 'receiving' school. The proportion of minority ethnic pupils in the four schools varied from 12% to over 90%.

In three schools, staff had not received any training for the RRAA. The fourth school had trained all the Senior Management Team at a half day training course. None of these schools provided the researcher with the full documentation requested. In the documents received there was no mention of the RRAA.

The schools had few initiatives to address the needs of minority ethnic pupils. In terms of ethnic monitoring, one school had made a race equality impact assessment on behaviour (including exclusions), attendance and lateness – it was reported that was successful in reducing lateness and increasing attendance. Another stated that other statistics were kept and informally analysed by individual staff. One school said it, 'Kept a lot of data but it did not analyse or use the data to act and inform'. The head teacher in a relatively high achieving school said 'We should be monitoring systematically but we are a good school, so we know what the issues are'. Only one school said it had a PTA – and reported that parents' evenings were on the whole not well supported.

Case Study 1

This inner city mixed comprehensive 11-16 school, with 500 pupils, was in special measures. 75% of pupils were from minority ethnic backgrounds, the largest groups of which were Black Caribbean and Pakistani. Attainment was fairly low (23% A*- C grades in 2002, 26% in 2003).

The school had not yet fully reviewed policies in light of RRAA. The head teacher mentioned the challenge of 'West Indian boys [who] tend to be loud and aggressive', and cited the language problem as significant with the numbers of EAL pupils. Analysis of school data by ethnicity was limited to mere counts of different groups in each year. Key stage results had not been analysed by ethnicity. The school had experienced upheavals in the previous year following critical inspection and a new SMT. The school had 43 teachers (FT and PT) of which 16 are unqualified.

Gang tensions in the area were reported to spill over into school. Parents were generally supportive of the school, but a significant minority were not. The head felt that devising strategies to deal with behaviour problems related to different ethnicities was 'a developing area for the school'. They had social skills training to support return from the LSU to the classroom.

Permanent exclusions were 2 (2001/02) and 4 (02/03). Disproportionate fixed term exclusions for Black pupils (1.5) and a high rate of FT exclusions overall (30% average over 2 years) though much reduced in 2003.

Description of schools rated 2

The 14 schools in this category had most of their policy documents and action plans in place and documents expressed commitments and goals. Some of the school statistics on

attainment, attendance, exclusions, learning support units were analysed by ethnicity and there were some plans in place to use these data to inform need. The staff and governors had received some training to inform them on the RRAA and its implications for teaching. Only seven race equality policies were received from the 14 schools visited.

Most of the governors were aware of the RRAA but only one had received any training. By year 2 five schools had governors who were trained. Assessment of policies in line with the requirements of the RRAA was reportedly very mixed. At one extreme, some schools had reviewed their race equality policy, had set the agenda in their action plan and had set up a monitoring group that met termly. Five schools had no specific practices for minority ethnic pupils.

Description of schools rated 3

The 22 schools in this category were well advanced in implementing the RRAA. Five schools had governors who had received training, five were aware of the RRAA and two had governors who did not know about it. However, some who had not received training felt they were aware of the issues involved; one had read the Macpherson report. Ten head teachers responded positively that they had an understanding of the RRAA with seven reporting increased attention to the area. One said ‘we now monitor more closely’. Three admitted that they had not done enough.

Schools in this category were more likely than schools rated 1 or 2 to supply appropriate race equality policies. One school was working with different groups of boys, Black Caribbean and White boys, highlighting the value of their cultures. Black mentors from an outside agency were employed to work with Black boys – one of the community groups said that the mentors employed by an outside agency had a more valuable role than those employed as members of the school staff, as they could be unbiased and better liaise between school and pupil. One school, through an analysis of attainment data, was targeting their mentoring scheme at under-performing KS4 Black Caribbean and mixed heritage boys to try and raise their attainment.

Schools were involved with projects such as ‘Beat the Street’ to encourage children to appreciate the value of education and away from involvement with the street culture.

Many schools had inclusion units to reduce the rate of exclusion, often enabled by funding from such sources as EiC.

While schools reported that they would have liked more support from more parents, many were actively experimenting with ways of attracting parents into school: one school reported: ‘We have invited parents of minority ethnic children in for an evening to attend a talk about raising the achievement. We have set up a “raising achievement” group where there is a balance of children from different races and socio-economic backgrounds’ (head teacher).

Description of schools rated 4

The schools rated highest tended to have lower rates for both permanent and fixed term exclusions. They did not always have the lowest disproportionality scores as, with very small numbers, single figure changes can alter the scores greatly. One highly rated school had a disproportionality score for Black pupils of 2.18 for fixed term exclusions, despite giving fixed terms to only five Black pupils; another gave 27 but had a lower disproportionality score.

The best schools had average proportions of FSM pupils very similar to the other categories and very similar attainment grades. This was not a representative sample of schools from the LEAs involved but two LEAs had a larger proportion of more highly rated schools and the LEA role was acknowledged by schools in addressing exclusion and race issues in schools. The 10 schools in this category conformed fully to the RRAA with strategies to address exclusion which were evaluated and with extensive monitoring of pupils by ethnicity and gender. Like schools in other ratings, schools rated 4 were also expected to take in new pupils as they had spaces, some feeling that it could be ‘unfair’. These pupils came as they were non-attenders at their previous school or left before they were excluded.

Governors in these schools were more engaged with the issues and challenges facing their schools in relation to minority ethnic groups. They saw the multi ethnic nature of their schools as a positive factor and described strategies that were put in place e.g. prayer mats and a quiet place for Muslims to pray. Half had received training for the RRAA, though some training was informal. All of them had a copy of the school’s race

equality policy and considered it helpful. They also were aware of monitoring that took place and explained the systems used.

All the schools had a race equality policy in place and most stated that the review was either annually or on a rolling programme. In most of the schools, at least one person on the Senior Management Team took an overview to ensure all aspects of the RRAA were looked at. Training was extensive for staff and governors, either formal or on a more informal basis eg cascading information at staff meetings. Schools with an EMAG team expected them to take a high profile.

Most schools thought that their strategies to address exclusions helped all pupils. Specific strategies for Black pupils, particularly Black Caribbean pupils included the use of Learning Mentors to support pupils. Sometimes the pupil was able to choose a mentor from several different ethnicities, but all would be able to choose the person they could relate to irrespective of ethnicity. Two of the schools employed a Black Youth Worker who could also visit and work with Black parents. There was use of community groups, both for in-school and for extra activities such as DJ-ing and drumming. Some schools organised evenings for Black parents, or allocated a room in the school for parent activities eg for Asian mothers meeting once a week in the school with their young children. Homework clubs were run in one school with support from bilingual assistants. Some had specific projects for Black pupils, especially for boys run by Black teachers eg the Black achievement programme, or projects run by the Black police or Black youth workers, particularly with an aim to reduce exclusions. One school taught small groups of Black pupils topics that would help raise their own knowledge of their background such as Black history or cooking the dishes from their, or their families' countries of origin. Some schools use Black role models – either to visit the school or for children to visit at an outside venue.

Schools given a rating of 4 tended to monitor a wide range of variables by ethnicity. For example, two schools monitored the ethnicity of parents attending parents' evening, one monitored the need for translators at school events where parents were invited. Social events and ethnic gatherings were also monitored and statistics kept.

Some interviewees regarded their schools as part of the community and involved themselves with parents and the community. One school did not have parents' evenings but there was over 60% attendance for academic review days. Most schools reported that parents' evenings were fairly well supported.

Case study 2 illustrates the sound and effective approaches adopted by one school working in very challenging circumstances as indicated by attainment and free school meal entitlement data. Considerable funding and a wide range of initiatives kept permanent exclusions low and disproportionality in fixed term exclusions low. The impact on reductions in exclusion attributed to new systems, especially the BIP, and new personnel was impressive.

Case Study 2

This large comprehensive school with just over 1,100 pupils had 37% minority ethnic pupils in 2002-2003, rising to just over 50% reported in 2003-2004. It had a diverse catchment area with the number of pupils having free school meals well above the national average. There was a variety of cultures in the surrounding area and 25% of pupils had English as their second language. OfSTED reported (January, 2004) 'Thanks to strong measures to promote good behaviour, notably the inclusion centre, the behaviour management programme and the learning mentor unit, exclusions continue to reduce'.

The school had its race equality policy fully in place and it was reviewed regularly. A race equality impact assessment had been carried out and school data were routinely analysed by gender and ethnicity. This monitoring was then used for staff INSET sessions that presented these data for all staff to consider. On occasion, this could be uncomfortable for some members of staff but the school felt that this was justified in order to enhance the service. The school had an action plan focussing on raising the achievement of minority ethnic pupils, which was documented within the school improvement plan and was informed by thorough analysis of expected cohort grades and achievement. The school had a range of strategies operating to reduce minority ethnic negative outcomes and to reduce exclusions generally.

The Behaviour Improvement Programme (BIP) and the funding associated with it had had a radical impact on the school. The 'internal exclusion' system worked well allowing pupils to continue to work in a special area and in the corridor outside senior management team offices. The BIP team, in addition to the manager, included an 'inclusion officer' (an ex-policeman who patrolled corridors to deter internal truants) and a learning mentor who were able to work with pupils who had been excluded from their classrooms.

The BIP Manager had good links with a range of professionals working with the school (e.g. psychologists, educational welfare officers and child guidance workers). The emphasis was on appropriate conduct coupled with supportive work on social and emotional skills in everyday situations. Internal exclusions were carefully monitored and the subject, teacher, time of day and department were all noted. This information was subsequently used for staff INSET and review of policies.

The school was also in receipt of EMAG funding which provided for two teachers, an instructor and a learning mentor. The essential role of the EMAG department was described as ‘to promote high expectations’. The EMAG plan ensured detailed monitoring of the race equality policy and its effectiveness throughout the school. Thirty eight of the 90 (4%) teachers in the school were from minority ethnic groups (including Australian, Irish and French) and 16 of the 45 (36%) teaching assistants were from minority ethnic groups. Overall these reflected the minority ethnic balance of pupils in the school.

The LEA provided specimen policies for racial equality and the school then adapted these and incorporated them into the school development planning. The LEA monitored schools for race impact and good school reviews were shared within the LEA. This school operated an ‘alternative placement policy’ in partnership with another local school where excluded pupils were placed in the alternative school for a period. During this time (a maximum of 3 days) they had to wear their own school uniform. The head teacher reported this initiative as being successful in radically reducing the number of fixed term exclusions.

The roles of the governors and local community were seen as very important to the school. Genuine access to the governing body by parents was seen as important and parents attended school functions in larger than usual numbers. Links with the community were very strong (OfSTED, 2004). Pupils gained substantially from the huge range of cultural, artistic and sporting connections, including many involving the cultures of minority ethnic groups and an on-line link with a school in Ghana.

Permanent exclusions were reduced from 11 to 2 over two years and fixed term exclusions from 66 to 18. Disproportionality calculations for the two years were 1.4 and 2.2.

6.10 Summary

The notion that inequalities can be removed by ‘treating all pupils the same’ is increasingly untenable and the recognition of different outcomes for some minority ethnic groups should raise concerns about whether provision is appropriate for all. Indeed, the RRAA draws attention to the need for ‘positive action’.

The differences in attainment of some minority ethnic groups, especially Black Caribbean pupils, reported nationally and replicated in many secondary schools and the different characteristics of Black pupils excluded from school reported in section 6.2 call for closer investigation of the possible operation of institutional racism. The excluded pupil audit data suggest that Black pupils had fewer attendance and special educational needs difficulties and fewer were low attainers. They were excluded for violence, usually against fellow pupils, more than other pupils and excluded less for classroom disruption. These findings suggest schools could use data about themselves to understand better the varying challenges and needs manifested particularly by Black Caribbean pupils, and institute early preventative initiatives and restorative and inclusive practices when difficulties arise.

Many schools, especially with EiC and BIP funding, had set in place well designed schemes to deal with behaviour problems that would not involve exclusion. Some schools were able to put on activities for all pupils, for those of a particular ethnic group or for targeted individuals aimed at reducing discipline problems. The composition of inclusion units, the success they have in reducing exclusions and the costs involved need to be monitored and it is not clear at present that schools are doing this systematically.

Some schools have developed schemes for involving parents and call on community groups also. The use of outside agencies, alternatives to school and being proactive are further ways forward which appear little developed at present.

Overall, exclusions have been reduced considerably in the schools in this study. For permanent exclusions, there was a reduction in 27 out of 43 schools (63%) for which two sets of data were available, and for fixed term exclusions in 21 out of 33 schools (64%). Funding from EiC and BIP appears to have contributed to this.

The general picture on policies and training in the visit sample was of encouraging responses to the statutory requirements of the RRAA. There remains much to be done and some schools would appear not to be meeting their specific duties in terms of assessing and monitoring the impact of policies. Monitoring by gender and ethnicity, and sometimes FSM, is a strength for a few schools. Race equality impact assessment does not appear to be well understood as a systematic gathering of data about differential outcomes, with debate and strategies to address these where judged appropriate. All schools had a race equality policy, a statutory requirement, but almost one quarter of them (24%) were not supported by the recommended (but not statutory) action plan. There appeared to be a problem over the distinction between equal opportunities and racial equality in a small number of schools which may hinder the development of specific procedures designed to promote racial equality. Indeed, equal opportunity may confuse debate over attending to unequal outcomes in attainment and exclusions.

There is a picture, emerging from the head teacher interview data, of the LEAs responding to the requirements of the RRAA by providing information, advice and model drafts of a race equality policy for schools to adopt or adapt to suit their particular circumstances. Training given/arranged by the LEA was reported but not as extensive as

the LEA view presented (see chapter 5). Training in the areas of the RRAA, exclusions, behaviour and community and family links will need further attention.

The Ofsted school reports on the secondary schools in this sample did not comment on disproportionality in attainment, nor, more tellingly, on disproportionality in exclusions, even though the tabulated figures by ethnicity, required by the Macpherson report, clearly showed disproportionality in exclusions in six of the seven schools for which reports were available from September 2003 – April 2004.

CHAPTER 7: PRIMARY SCHOOLS AND MINORITY ETHNIC EXCLUSIONS

Based on data from 21 primary schools, this chapter examines the impact of the RRAA and school action on reductions in minority ethnic exclusions. It considers the challenges faced by schools and the initiatives which appear to be helpful in addressing these.

Key Findings

- There was discernible success in addressing exclusions and a range of initiatives targeted at minority ethnic under-achievement and behavioural challenges.
- It appeared that a number of the schools were not fully compliant with the specific duties laid upon schools, particularly in the area of assessing and monitoring the impact of policies by ethnic group.
- Although the numbers were much smaller, the disproportionalities in both fixed term and permanent exclusions for certain minority ethnic groups apply at primary level as well as secondary.
- The fact that large numbers of pupils who experienced fixed term exclusions continued to cause concern should motivate further action and funding on preventative work.
- Schools which were rated highly on the implementation of the RRAA related to minority ethnic exclusions made good use of data about themselves and had imaginative, evaluated, preventative strategies in place.
- All schools had a race equality policy but few had an associated action plan and the concept of a race impact assessment was not clearly understood.
- EiC/EAZ and BIP provided welcome support and appeared to result in reduced exclusions in those schools in receipt of funding.
- Street culture and gang membership intruded into school life even in the primary years and schools were only beginning to find ways to address this.
- Some Ofsted inspection reports usefully focused on disproportionality in minority ethnic attainment.

7.1 Introduction

As with the secondary schools, interviews were conducted with the head teacher, another senior teacher (usually the SENCO) and a governor. Up to five exclusion cases were reviewed in each school. Information was sought on the implementation of the RRAA and the issue of exclusions, a much less frequent occurrence in primary schools. Questions were asked about policies, initiatives, monitoring and what was perceived to work in managing discipline. As with the secondary schools, primary schools were rated on a four point scale in relation to fulfilling the requirements of the RRAA and addressing minority ethnic exclusions.

Most schools had 'local catchment' areas and many schools mentioned that they were located in a 'socially deprived area' with high rates of unemployment and single parents. Several schools mentioned that families were living in 'overcrowded accommodation'.

The size of the minority ethnic population within the school affected the school's ability to measure any differences in attainment as one head commented, 'This is difficult to measure (performance comparatively) due to the low number of White children'. This rightly points to a difficulty in interpreting data and drawing conclusions because of small numbers where one year, there is disproportionality and the next there is not, though it may be only one or two pupils making the difference.

7.2 Statistics on primary school exclusions and ethnicity

National statistics

The rates of permanent exclusions from primary schools in England were 0.03% in both 2001/02 and 2002/03. Eighty percent of these exclusions were of White pupils, a similar proportion to secondary school figures. Black pupils are excluded at higher rates in both years: 0.07 in 2001/02, 0.04 in 2002/03. Those categorized as in one of the five mixed heritage groups in 2002/03 were permanently excluded at the rate of 0.06%. The adverse disproportionalities in permanent exclusion varied from 1.35 to 1.84. The disproportionalities with Asian and Chinese pupils were less than one.

Permanent exclusions in the visit sample schools

The number of permanent exclusions in the 21 visit sample primary schools, derived from PLASC data, was too small to provide a basis for calculation.

Fixed term exclusions in the visit sample schools

Fixed term exclusion numbers provided by the 21 primary schools were also small in number. As with secondary school returns, it was not always clear whether numbers or incidents were being reported. In these schools, with just over 5000 pupils, the total number of fixed term exclusions from 17 of the responding schools was 50 in 2001/02 and 58 from 18 schools in 2002/03 (0.98% and 1.13%). Combining Black and mixed heritage pupils for 2001/02, the rate was 2.6%. In 2002/03, the fixed term exclusions for Black and mixed heritage pupils numbered 22, a rate of 2.5%, giving a disproportionality score greater than 2 for minority ethnic exclusions for both years. This means that Black and mixed heritage pupils were excluded at twice the rate of pupils in general.

Audit data on primary school exclusion cases in the sample schools

There were audit forms on 68 pupils from 18 schools in 2001/02 (59 fixed term and 9 permanent exclusions); and 46 in 2002/2003 from 13 schools (45 fixed term and 1 permanent). Most (54%) were White in both years (table 7.1) and around 80% were boys.

Table 7.1: Minority ethnic background of excluded pupils on audit sheets

	Data for 2001/02	Data for 2002/03
White	51	24
Mixed	8	11
Asian	2	5
Black	7	6
Other	0	0
Total	68	46

Table 7.2: Gender of excluded pupils

	Data for 2001/02	Data for 2002/03
Boy	60	40
Girl	7	5

Most (85%) of the pupils in both years were in Key Stage 2. Pupils tended to be on the upper levels of the Special Needs Code of Practice stages (table 7.3) and attainment tended to be below average but many of the young people were deemed to be in the 'average' band (table 7.4) defined as less than an average of one national curriculum level above or below the norm for that Key Stage.

Table 7.3: SEN status of excluded pupils

Stage of the SEN Code of Practice	Data for 2001/02	Data for 2002/03
None	1	5
Action	12	16
Action Plus	33	19
Statement	10	5

Table 7.4: Attainment levels of excluded pupils

	Data for 2001/02	Data for 2002/03
Below Average	26	8
Average	18	24
Above average	5	2

Reasons for exclusion were, as with secondary age pupils, mainly for violence against fellow pupils. For a significantly higher proportion of these younger pupils, it was for violence against the teacher, as shown in table 7.5.

Table 7.5 Reasons for exclusion (excluded pupil audit sheets)

	Data for 2001/02	Data for 2002/03
Violence towards pupils	26	19
Violence towards staff	21	8
Non-compliance with teachers	27	6
Bullying	4	4
Verbally/ racially abusive behaviour	15	2
Vandalism	1	3
Drugs/ alcohol	0	0
Threatening behaviour	3	3
Other	5	5

Table 7.6: Subsequent experiences of excluded primary school children

	Data for 2001/02	Data for 2002/03
No further exclusions	10	8
Relocated/left/new school	7	10
At PRU	10	3
Continues to be a worry	18	14
Withdrawn from school	2	0
Permanently excluded	1	0
Total	48	35

Table 7.6 suggests that, for some of the pupils, the problems receded, but for most they did not. Of concern is the fact that, of those who remained at school, so many (76%) were still considered to be at risk of exclusion.

7.3 Race Equality Policies

At the time of the first year of fieldwork, the great majority of schools (17 out of 21) stated that they had a race equality policy, with the remaining having a draft policy. In the following year, all of the schools visited had developed a race equality policy, which had been approved by governors.

There was more variation in the production of other related policy documents. Only five schools that had a race equality policy also had an action plan that supported the policy. Out of the five schools that had race equality action plans only three had the action plan or a subsection of the action plan incorporated into the school development or improvement plan, as is recommended in the Commission for Racial Equality's *Guide for Schools* (CRE, 2002e).

The varying degree to which policy review and development were considered important can be highlighted from the following comments. One head teacher commented that 'review of policies is now part of an annual review process, which feeds into the whole school policy and reviewed against action plans'. Another commented that, 'We do not have an explicit behavioural policy'.

Good practice example

In a large inner city primary school, a senior staff group reviewed school policies annually on a rolling cycle so that new legislation, guidance and models of best practice could then be incorporated. The school also used a form of race impact assessment to ensure that policies did not impact more negatively on one group than others.

As with secondary schools, only a small proportion (29%) of primary schools were using a race impact assessment, as recommended by the CRE guidance on meeting the specific duties for schools. It would appear that a minority of primary schools were not meeting their specific duties under the RRAA in terms of assessing and monitoring the impact of policies.

7.4 Initiatives and approaches to tackle exclusions

The schools had developed a number of initiatives to improve behaviour, reduce exclusions and to meet both their obligations under the RRAA and also the expectations of families and pupils. Many of the initiatives, while widely practiced, were novel to some of the schools.

Mentors and Learning Mentors were used in three of the schools to address the needs of pupils with challenging behaviour or pupils who were at risk of exclusion, by supporting individual and small groups of pupils. In other schools, different staff members took the lead. The SENCO's role in moving forward inclusion and behaviour modification was highlighted in two schools. This approach had a particular focus on working with pupils and their parents/carers to support their efforts to change the behaviour of their children for the better. Two schools viewed work with parents and carers and close liaison with the families as important. Benefits were reportedly seen both at school and at home.

Only one of the primary schools highlighted the importance of early intervention, involvement with parents and putting daily monitoring systems in place for difficult pupils. Another employed one teacher specifically to 'work with pupils at risk of exclusion', inside and outside the classroom and also to offer support to their teachers.

Multi-agency working was considered important in dealing with complex issues of inclusion. One school worked well with a transient traveller population and the Traveller Education Service. Others cited the importance of working with other professionals and outside agencies especially from the voluntary sector, Behaviour Support Service, Child Adolescent Mental Health Service, art therapy, Educational Psychologist and counsellors.

One school made use of Pastoral Support Plans only to track and monitor pupils' behaviour. Many of these approaches were new to many of the schools with the result that most schools could only give anecdotal evidence that the approaches worked. Enigmatically, two schools commented that they were *attainment-focused*, not inclusion or race focused.

Good practice example

A primary school staff worked in partnership with staff from outside agencies including a voluntary organisation and the youth service. The joint work focused on counselling and mentoring young people at risk of exclusion due to inappropriate behaviour or breaking the school code. This approach was an innovative initiative for the school and was seen as an alternative to exclusion.

Table 7.7 below highlights the alternative approaches that are used within the schools, other than exclusion.

Table 7.7: Alternatives to exclusion

Alternatives	Number of schools
PRU	9
Part time schooling	7
Managed moves	7
Internal Inclusion Unit	0

Schools could use more than one alternative to exclusion

None of the primary schools had an internal exclusion/inclusion unit. However, sending a child to the head teacher's office for out of class time was mentioned on a several occasions.

The main alternative approach was sending pupils to the PRU. The frequency and length of time would vary, dependent upon the LEA and the type of unit. In some cases, pupils would attend the PRU for a prescribed period of time as part of a behaviour modification programme, in other cases they would attend the PRU full time and not attend the school anymore. Part time schooling and managed moves were used equally as a means of keeping exclusions down.

There are several sources of funding that schools accessed to assist in additional curriculum activities, school development or special projects focused on under-achievement and disaffection. The majority of schools (86%) did not receive any additional funding, even though some thought that they should. For the schools which received funding, this was from multiple sources as shown below.

Table 7.8: National funding for projects

Funding	Number of Schools
Excellence in Cities	6
Behaviour Improvement Programme	5
Education Action Zone	4
Ethnic Minority Achievement Grant	4
Regional Partnership	2
Children's Fund	2
Standards Fund	1
European Social Fund	1

The use of the funds varied from school to school, even if the use was nominally the same. For example, learning mentors had many different roles ranging from classroom support to family liaison.

Good Practice Example

A multi-ethnic school had two sources of funding: the EAZ grant enabled the school to employ a teacher who focussed on raising the achievement of boys within the school, running special sessions for targeted groups; the BIP enabled the school to employ a specialist teaching assistant to work with pupils who displayed challenging behaviour and who were at risk of exclusion. One of the approaches for which she had been trained was solution focussed brief therapy⁵.

Three quarters of the primary schools did not use the race equality impact assessment to assist in the monitoring and analysis process. In most schools (77%), data were collected and collated in relation to ethnicity and gender. However, this information was used in different ways from producing basic descriptive statistics to more detailed analysis.

Good Practice Example

The school comprehensively monitored data on its functioning. Staff monitored attendance, achievement, behaviour, exclusions, managed moves and use of off-site provision by race and gender. This constituted their race equality impact assessment. The staff discussed variations between groups (ethnicity, gender) and considered if the over-representation of some groups in exclusions or low attaining groups could or should be addressed.

7.5 Parental Cooperation, Community Relations and LEA Support

Parental support varied across schools. In some cases it was ‘difficult to engage with a significant number of parents’ and that ‘some parents use inappropriate strategies to deal with children and need parenting skills’. On the other hand, comments included that parents offer ‘Very good parent support’ and that ‘Parents want pupils to do well’.

Schools identified individuals, community agencies and organisations which were involved with the school. In most cases, the aim of this involvement was for the agency to give external support to the family which in turn would have a positive effect on the child and the relationship between school and home.

One school was used as a community resource. In the evenings, the school was used by the local community for adult education lessons including English for parents with

⁵ Brief therapy is limited to a small number of sessions, typically six, and focuses ahead, rather than on causes, to what the young person needs to be able to do to function appropriately in the environments where currently problems occur.

English as a second language and general arts and craft activities. This link with the community both built positive relationships with the parents and enabled the parents to support their children more with school work.

A common theme was that of negative youth culture. One head commented that her school 'was aware of the availability of gangs, guns and knives in the area' and that 'Riots recently occurred and racial tension is high'. Another head explained that 'The school is close to a difficult area and gangs affect the boys, who then came to school wearing hoods and with one glove (to hold a gun!). These influences affect the school by fuelling challenging behaviour'.

The LEA was identified in varied ways as offering some support in relation to behaviour, exclusions and minority ethnic issues. Information was distributed by the LEA, training was on offer and LEA officers and advisers were available, but their role was not communicated powerfully in relation to minority ethnic inclusion practices.

7.6 Ofsted inspection reports

Six inspection reports were examined. These were the total completed for the sample after September 2003 over a year after the requirements of the RRAA should have been implemented. In none of these reports was disproportionality of fixed term or permanent exclusion evident. Five of the reports commented fairly fully on minority ethnic community links, curriculum inputs representing a multi-ethnic society and race relations. Several commented on the additional support for EAL children. Two inspection reports considered in detail the absence, punctuality and attainment of White and African-Caribbean children. One commented critically on the senior management team, which 'is not yet looking in sufficient detail at the performance of different groups of pupils. For instance, what is the story behind the figures that suggest White and Afro-Caribbean boys appear to do worse than the girls and what can be done about it?' (Ofsted Primary School Inspection Report, 2004).

7.7 School Ratings and Case Studies

Schools were rated by the research team according to their compliance with the RRAA legislation and its application to minority ethnic exclusions. The rating procedure is outlined in Chapter 3. As exclusions are far fewer in the primary than the secondary sector and the relations with the community and families are likely to be closer in primary schools, primary schools are more likely to have greater compliance with the Act than secondary schools. It is indeed the case that more of these schools were given a top ranking than secondary schools, 29% in primary schools compared to 20% in secondary schools.

Rating 1:	three schools (14%)
Rating 2:	four schools (19%)
Rating 3:	eight schools (38%)
Rating 4:	six schools (29%)

Overall, there were few exclusions from the 21 primary schools. Eight of the schools had no fixed term exclusions in 2001/02 and seven had none in 2002/03. The six schools with the highest ratings were very low excluders. Case studies of schools rated 1 and 4 are given below.

Case study 3 – rated 1

This small primary school of less than 200 pupils was situated in an inner city within an area of high levels of social and economic deprivation (FSM entitlement – 40%). The minority ethnic population of the school was over 80% and had increased over recent years.

Attainment was below average but in line with similar schools. The focus of the school had been on raising achievement. There had been very little breakdown of any data by ethnicity and gender and this meant that the race equality policy could not be fully implemented, though there was awareness of gender difference. The school received EiC funding which paid for the employment of a learning mentor.

Lateness to school and unauthorised absence had been a problem. This had been compounded by the high mobility (40%) of the school population and the school found it difficult to put strategies in place. However, there had been no permanent exclusions in the preceding two years and fixed term exclusions had decreased from 8 to 4 incidents.

Case study 4 - rated 4

This primary school was a larger than average junior school with a roll of just under 400 situated close to the city centre. The number of children eligible for free school meals was well above the national average at 60%. There was high unemployment in the area with many families experiencing hardship. Over half the children in the school were from minority ethnic backgrounds and most spoke English as an additional language. These families had strong cultural links to their homeland and many made home visits. Provision was made for religious holidays and festivals.

Pupils' attainment on entry in Year 3 was variable, well below the national average, and a significant number of pupils were on the school's register for special educational needs. Pupil mobility was high.

Staff were good at tracking the progress of the pupils and helping pupils to improve both academically and in their personal development. The only additional funding the school received was from the Ethnic Minority Achievement Grant to assist pupils with English as an additional language. The head teacher commented, 'The children have needs; we can meet them'.

There was a strict, seven point, simple behaviour code known to all staff, pupils and parents. Infringement of the code was recorded on a database. Every two weeks the senior management team reviewed the data. Where data suggested a pupil was causing concern there was early intervention and the parents are asked to come into the school. In 2002/03 there were no exclusions, either fixed term or permanent.

All data were analysed by ethnicity and gender by a teacher with responsibility for diversity and these data were examined regularly by the senior staff. This included data on behaviour, exclusions, attendance, and the number of parents at parents' evenings. Through analysis of data, staff had become aware that there was a gender issue with boys. A race impact assessment had been made on all policies.

Most of the schools were in areas of social disadvantage and a number had additional funding from EiC, EAZ or BIP which made a significant difference allowing the employment of professionals for targeting work with at risk young people.

Race equality policies had been produced by all schools but only a quarter had action plans and only three had this incorporated into the school development plan. Learning mentors, staff focusing on at risk young people and multi-agency work was established in some schools. Schools reported how factors external to the school could impact on the life in the school including gang culture, even for these younger pupils.

The schools performing best in terms of implementing the RRAA and addressing exclusion issues as they disproportionately affect minority ethnic children responded in an accepting manner to local cultures. They also collected and analysed data about their children to inform policy.

7.8 Summary

National figures show that permanent exclusions from primary schools are rare, three pupils in 10,000. Nonetheless, Black pupils are excluded at higher rates. The audit data from the schools show that Black and mixed heritage pupils were excluded from primary school at more than twice the rate of White pupils. This applied to both permanent and fixed term exclusions. Most of the excluded pupils were statemented or on School Action Plus. A large proportion of excluded pupils were seen as ‘a cause for concern’ and this may point to the need for further funding and preventative work.

Race equality policies were in place in all the schools but, as with secondary schools, these were seldom accompanied by an action plan. Race impact assessment was only used by a quarter of schools. If key stage attainment were monitored in relation to race and gender, where there was disproportionality, an action plan could be developed and implemented to address inequality. A minority of primary schools did not appear to be fully meeting their specific duties under the RRAA in terms of assessing and monitoring the impact of policies.

Targeted funding to address inequalities clearly made a contribution to raising achievement. The initiatives and approaches to address behaviour difficulties were supported by funding and mentors were frequently the intervention used. The schools also used external agencies, pastoral support programmes and developed strong links with families and the community. While there were no inclusion units in the primary school, schools did use the PRU, managed moves and part-time schooling.

Ofsted inspection reports examined found that attention was paid to quantitative data on minority ethnic differentials. If primary schools are to confront disproportionality in attainment and exclusions with minority ethnic pupils, they will need to do this for themselves.

CHAPTER 8: SPECIAL SCHOOLS AND PUPIL REFERRAL UNITS (PRUs)

Ten special schools and four PRUs were visited. Interviews were carried out and documents and data analysed to examine the extent of compliance with the RRAA and the attention given to minority ethnic exclusions. These institutions are recipients of pupils excluded from mainstream schools and offer interesting perspectives on the management of these challenging pupils.

Key findings

- Much good practice was evident in the way that some special schools and PRUs managed behaviour and responded to minority ethnic issues.
- Of the special schools and PRUs visited, not all appeared to be fully compliant with the RRAA.
- Special schools found that positive behaviour management (as opposed to sanctions), involving a wide range of flexible strategies and detailed assessment of pupil needs, was likely to increase the chances of excluded pupils reintegrating into mainstream school.
- Special schools reported that mainstream schools were often unwilling to accept pupils with challenging behaviour; the pupils were often unwilling to return to a mainstream school.
- Better relationships and more detailed individual monitoring of behaviour could lead to increased awareness of ethnic issues and/or racial tensions between pupils.
- Parental partnership was a vital component in changing pupil behaviour and for dealing with specific cultural or ethnic issues in school and special schools and PRUs excelled in this area.
- In some cases, the use of off-site facilities helped to prepare pupils for a rapid reintegration back into a mainstream school, which meant that some special schools and PRUs had a high turnover of pupils.

8.1 Introduction

Ten special schools and four PRUs in 11 LEAs were examined in terms of their compliance with the RRAA and their role in managing exclusions and particularly minority ethnic exclusions. These institutions provided education for children and young people excluded from mainstream school and who were usually experiencing social, emotional or behavioural difficulties. Many had statements of educational need. Exclusions were kept low in these institutions and there was much one-to-one work and strong liaison with parents. The individualised work made ethnicity an important, if not always explicit, part of their work.

The special schools (eight of which were schools specifically for pupils with behavioural difficulties) and PRUs are significant in this research because pupils excluded from school are most likely to be referred to these schools and units and also because they specialise in dealing with the kind of problems that have led to exclusion.

There were differences in the way that PRUs and special schools applied strategies to support young people with social, emotional and behavioural difficulties. There were also differences in the way they worked with parents, in their overall size and the size of the classes or learning groups. This part of the study, therefore, provides a complement to the investigation of mainstream schools both in terms of what happens to pupils when they are excluded, and as a contrast to mainstream schools in the way they work to support young people in difficulty. Their focus on individual needs and relationships meant dealing with ethnic issues regularly and with acceptance.

Good practice example

One PRU, with places for 15 pupils had predominantly minority ethnic pupils excluded from mainstream school, had very comprehensive baseline assessments (including medical checks for eyesight and hearing) and developed focused individual programmes to boost learning skills. The emphasis within the PRU was on boosting academic achievement, self-esteem and confidence. The agreed policy was for a 16-week turnaround period for reintegration into mainstream school. In the previous year it had reintegrated a significant number of pupils (reported 55 in less than 16 weeks). The unit reported also that they were equally successful with reintegration across the range of minority ethnic groups.

8.2 Statistics on special school exclusions and ethnicity

The exclusion rates for special schools were 0.32% for 2001/02 and 0.30% for 2002/03 which is 50% higher than for secondary schools though the numbers excluded were only around 300. The permanent exclusion rates for Black pupils were 0.52% in 2001/02 and 0.43% in 2002/03 making disproportionality rates of 1.64 and 1.43 respectively. The numbers of mixed heritage pupils excluded were very small. National data were not available for PRUs.

For several of the institutions in the sample investigated, the percentage of minority ethnic pupils on fixed term exclusions was proportionate to the overall percentage of minority ethnic pupils on roll. In seven cases, the percentage of minority ethnic pupils excluded was significantly lower than the overall rate.

8.3 Initiatives and approaches to promote inclusion

Eleven of the special schools and PRUs reported having no permanent exclusions in the academic year 2002/03. Three of the PRUs and special schools had a 'no exclusion' policy and reported no permanent or fixed term (FT) exclusions. Four special schools and PRUs evidenced detailed monitoring of incidents that might lead to exclusion and eight

claimed being able to identify any racial components in such incidents. For example, they could identify the individuals involved in incidents and were aware of specific racial tensions and provocations.

All 14 PRUs and special schools reported and evidenced a broad range of positive behaviour strategies consisting of individual behaviour plans, the use of classroom assistants, a detailed behaviour policy, an emphasis on personal and social development, identifying additional educational needs and providing one-to-one academic and personal supported time.

Relationship building was reported to be an important aspect of the work by eight of the PRUs and special schools involved. In addition to this, seven reported the use of learning mentors with consideration given to matching the learning mentors according to the ethnicity of pupils. However, only four of the 14 special schools and PRUs involved were able to match the percentage of minority ethnic pupils to a similar percentage in their staffing. Teamwork was felt to be a crucial component in providing a consistent and coherent response to behaviour and cultural issues by eight special schools and PRUs.

Good practice example

In one residential special school for children with emotional and behavioural difficulties where the rate of fixed term exclusions was low and matched the ethnic mix of pupils in the school (no disproportionality), a team of residential social workers (who also reflected the ethnic mix of pupils) acted as learning mentors in school. Children had access to their learning mentors both in school and out of school time. There were flexible arrangements allowing non-resident pupils to access learning and behaviour support after school hours.

8.4 Context, community and links

The use of off-site facilities was reported by 11 of the special schools and PRUs involved. These included links with the local FE college. Eight mentioned significant parent and community involvement and this served to support a rapid reintegration policy back into mainstream school for five of the institutions.

Five of the special schools and PRUs specifically mentioned the great difficulties in reintegrating pupils into mainstream schools and cited a variety of reasons for this including the unwillingness of mainstream schools to have challenging pupils back and the unwillingness of pupils themselves to return to mainstream. Eleven special schools and PRUs mentioned substantial links with a variety of professional, local and voluntary

agencies in the community. Ten of the special schools and PRUs emphasised parental partnership as being a vital component in both changing behaviour and dealing with specific cultural or ethnic issues in school.

Six special schools and PRUs reported that tensions emanating from gang cultures in the surrounding community frequently came into school. All of these were situated in the inner areas of large cities and four elaborated on racial confrontations and tensions.

The amount of training support on the RRAA given by LEAs or taken up by schools was not consistent. Only four of the special schools and PRUs reported a programme of detailed and pervasive training of staff and governors.

Special schools use a wide variety of strategies to deal with challenging behaviours from all pupils. This may be partly because of a greater commitment to inclusion and an unwillingness to use exclusion as part of their discipline strategy. Eight schools in this group expressed a commitment to nil permanent exclusion. Ten special schools and PRUs saw fixed term exclusions as a 'breathing space' for taking stock and re-establishing communication rather than as a punishment or a disciplinary measure. All 14 special schools and PRUs reserved exclusions for very extreme incidents involving physical violence, drugs or weapons. In some cases, local gang cultures affected the frequency of such incidents in school but most cases involved physical violence. Numbers were too small to form a basis for judgement on whether this had any greater effect on minority ethnic pupils. It could be that, where the school and staff effectively dealt with minor incidents without resorting to exclusion as a strategy, this reduced the possibility of cultural differences or tensions leading to conflict with peers or authority figures.

8.5 School ratings and case studies

The 10 special schools and four PRUs were rated on the basis of the data collected according to the process outlined in chapter 3. The results of the ratings are set out below:

Two special schools were rated 1 (14%)

Two special schools and two PRUs were rated 2 (29%)

Three special schools and one PRU were rated 3 (29%)

Three special schools and one PRU were rated 4 (29%)

The attributes of special schools and PRUs rated at the four levels are outlined. A full case study of a school rated 4 is then given.

Two special schools in the study scored 1 showing little knowledge or commitment to the requirements of the RRAA with few staff trained and incomplete or non-existent policies and few links with the community. Although it may seem likely that such schools would show a disproportionate number of exclusions of minority ethnic pupils, one had not had any fixed term or permanent exclusions at all in the previous two years.

Four of the special schools and PRUs scored 2 on this scale indicating the existence of policy documents and expressing commitments and goals with partial analysis of statistics and some training of staff but with little statistical analysis directly concerned with issues of ethnicity or gender. It should be stated at this point that, unlike mainstream schools, the number of pupils involved is considerably lower (for example, 1200 pupils in a local comprehensive secondary school compared with 21 in a PRU) and special schools and PRUs all argue that their detailed individual planning and monitoring of behaviour enables them to identify in detail, any gender or ethnic issues involved in, for example, bullying incidents.

Three special schools and one PRU were rated 3 on the scale indicating the presence of specific policies and some evidenced action planning with goals for reducing permanent and fixed term exclusions. They also showed evidence of statistical analysis of ethnic and gender components in behaviour and academic monitoring and some responses to issues within the local community.

Three special schools and one PRU were rated 4, indicating compliance and implementation of policy through action planning. Policies and action plans were in place, including those for the training of staff and governors, school statistics were analysed and strategies operated to reduce minority ethnic outcomes.

The case study below, rated 4, details the client group for the school and the staff training and policies. The school was particularly strong on data collection and monitoring and on the provision of diverse individualized support. The outreach service offered was

important to prevent exclusions and it was helpful for reintegration. It functioned well in its role of providing pupils with vocational opportunities.

Special School Case Study – rated 4

This inner city school provided special education facilities for 177 pupils having serious social, emotional and behavioural difficulties and who had been excluded from school. 33% of the pupils were either involved with drugs or with the police in some other way. There were 157 (89%) pupils with SEN statements and 15 were in the process of being statemented. 123 pupils (69%) were eligible for free school meals. The school acted as the central hub for a range of other outreach and support services within the LEA. This concentration of expertise within the school was shared with colleagues who were supporting pupils 'at risk' of exclusion in the wider mainstream school community. It had 34% minority ethnic pupils and 22% of the teaching assistants or learning mentors and 12% of the teaching staff were from minority ethnic groups.

It was reported that the relatively small group of Asian pupils amongst the other minority ethnic groups could lead to bullying. All bullying incidents were monitored for 'racism'. The school had a residential social worker attached who was identified as a 'specialist in minority ethnic issues' and also contributed to the education through classroom support.

Staff were well informed, well trained and involved in all of the school approaches to behaviour management (including domestic staff). All staff and governors had received training in race relations provided by the LEA. Whilst the pupil turnover was high, due mainly to reintegration, the turnover of staff was very low leading to consistency and security for pupils. The school did use fixed term exclusions in dealing with a wide range of challenging behaviour such as use of drugs, bringing weapons into school, racial abuse, physical assaults, vandalism, drug related incidents and inappropriate or deviant sexual behaviour. It had been working hard to reduce the number of fixed term exclusions in changing circumstances, and had succeeded.

The school had a race equality policy fully in place. Race impact assessment was carried out and school data were routinely analysed by gender and ethnicity. In order to achieve detailed monitoring of behaviour and racial issues, the school used a flexible database system on which all incidents were 'logged', their time and place and relevant surrounding data. In this way, staff were able to identify and act upon incidents of racial harassment, physical violence, bullying and truancy. There were termly pupil consultation meetings to review behaviour and develop an individual behaviour contract. The behaviour contract was supplemented by anger management training and by the use of Connexions and off-site provision to reduce permanent exclusions.

Ongoing and regular monitoring allowed for an effective series of meetings with the young person and parents prior to any decision to exclude and if possible to avoid that eventuality. All exclusions were monitored by ethnicity and gender and reasons for exclusion were also recorded. Racist bullying is also monitored. In 2002-2003, 63 incidents led to 48 fixed term exclusions (47 White and 23 minority ethnic pupils) and in 2003-2004 (with an increased roll and pupil mobility in and out of the school) there had been 68 fixed term exclusions of which 26 were minority ethnic pupils (including those of mixed heritage backgrounds).

There was an emphasis on developing good relationships with young people and between young people in the school leading to a purposeful and encouraging atmosphere in school. Detailed knowledge of individuals was combined with positive expectations to provide an environment in which young people could begin to take responsibility for themselves and for their behaviour. The emphasis on relationships enabled staff to identify quickly, understand and work positively with any racial tensions that appeared amongst peer groups in the school. Fixed term exclusions were used as a 'cooling off' period and a time for guided reflection rather than as a solitary punishment.

The strategic use of a detailed database throughout the school allowed staff to 'track' progress on both academic and personal/social fronts for each pupil. It was also used to monitor 'incidents' in a detailed way that went beyond the usual 'incident book' logging and enabled staff to learn effectively from incidents. Coupled with a focus on positive behaviour management, rather than simply sanctions or punishment, the school environment encouraged active and constructive emotional and social learning amongst the young people who attended. The detailed monitoring was also used for review of policy and for regular staff development programmes.

The school placed an emphasis on parental involvement whenever possible and sometimes there was liaison with parents on a daily basis. All parents were involved in drawing up each pupil's behaviour management contract. On occasion, racial tensions at a nearby comprehensive school spilled over into the school, particularly where pupils interacted coming to school in the morning. Each pupil had a social work 'link' person in the community and local police gave their input and support on racial issues in the community.

The school operated an 'inclusion outreach' in order to support pupils getting back into mainstream school. There were links with the local FE college and with a specialist unit where pupils could undertake vocational courses in, for example, cooking or mechanics. Despite the concentration of challenging circumstances, both in terms of pupil intake and community racial issues, the school was justifiably proud of its work with pupils in serious difficulty or who had been excluded from school and, in line with its 4 rating, demonstrated it was working hard to ensure equity for all its pupils.

8.6 Summary

While special schools and PRUs did not always have readily available the policies and action plans concerning race equality, they were able to focus on the all-round characteristics and needs of the pupils and this would encompass issues of ethnicity. They employed a wide range of flexible strategies to promote positive behaviour and develop strong partnerships with parents. Fixed term exclusions were used but permanent exclusions were rare and the schools and PRUs were dedicated to appropriate learning provision while pupils were there, reintegration where this was possible and movement on to vocational and training opportunities. However, a number of special schools and PRUs did not appear to be meeting their specific duties under the RRAA.

Accepting that adult-pupil ratios were much lower, special schools and PRUs offered individualised, diagnosed, supportive curricula and experiences and an approach designed to address individual difficulties. There are lessons here for mainstream schools and a need for training of mainstream school staff and funding to facilitate more transfer of capacity to mainstream schools in how to deal with challenging behaviour and react with sensitivity to different cultural groups.

CHAPTER 9: PUPILS' AND PARENTS'/CARERS' PERSPECTIVES ON EXCLUSION

Forty pupils and 20 parents/carers were interviewed about the experience of exclusion. They were asked about the appropriateness and consequences of the punishment, and questioning offered the opportunity for perceptions of racism to emerge.

Key Findings

- Data from parents/carers and pupils suggested that there was variation in what was thought to merit exclusion within and across schools and LEAs.
- Pupils who were excluded did not report having troubled lives at home or in the community and many reported (and are reported by their parents as) being very popular.
- Pupils mentioned problems with relationships with teachers, and particularly with teachers 'not listening'.
- Few of the pupils had a Pastoral Support Programme and parents did not recognise that they had been involved in setting up one of these.
- A small number of pupils perceived that different ethnic groups were treated differently and saw this as unfair; this could be Black pupils thinking White and Asian pupils were treated more favourably or White pupils thinking Black pupils were treated less harshly.

9.1 Introduction

This chapter looks at the experience of exclusion and at events, prior to and following exclusion, from the perspective of the pupils and their parents. It reports the findings from interviews with forty pupils who had been excluded from school. Although all the parents/carers of the pupils initially agreed to be interviewed, only 20 were interviewed, 15 mothers and five fathers.

Table 9.1 sets out the characteristics of those interviewed:

9.1 Characteristics of Excluded Pupils Interviewed

	Fixed Term	Permanent	Black	Asian	White	Other
Boys	16	10	18	4	2	2
Girls	9	5	9	0	2	3
Total	25	15	27	4	4	5

Twenty two of the pupils attended mainstream secondary schools, 11 attended schools run by community groups, four attended special schools and three attended Pupil Referral Units. Fifteen pupils had been permanently excluded from a school; two of these had been permanently excluded more than once. Three pupils had been permanently excluded from school without previous fixed term exclusions. Thirty seven pupils had received fixed term exclusions from school ranging from a single instance (9 pupils) to 20

occasions. Half of the pupils with five or more fixed term exclusions had been permanently excluded from their school. Interviews were carried out usually in the school the pupil attended.

9.2 Pupils' Responses

Home and socializing

For the majority of pupils (75%) life at home and in the community was at least 'alright' whilst life at school tended to be more difficult. Comments that were typical included 'It's OK in my home area but I don't get on well at school,' and 'Home is OK, but school can be difficult.' Most children spoke positively about their home and family, in spite of difficult home circumstances such as frequent moves or living in a refuge.

Nearly half of the pupils thought their parents' relationship with the school was poor. The majority of pupils felt that contacts between school and home could be improved. About 40% of pupils said that the school contacted parents by telephone as soon as there was a problem. A quarter of the pupils said their parents were contacted later, either by letter or by a phone call, 'when it was too late to turn back', as one pupil put it. Two young people felt that 'they talk to parents as though they are insignificant', and 'mum doesn't like being talked down to'. Many schools recognise the problem of trying to involve parents in the education of their children and are working to improve this relationship through having an open door policy, by inviting parents to school events and by getting more involved with the local community. More positively, 14 pupils said the school contacted their parents to tell them about an achievement. Sixteen pupils thought their parents had never been contacted for a positive reason. One pupil said that 'in Year 8 I tried to behave and do good, and the teacher said she would tell my parents, but she didn't'. Most would have liked the school to contact the family to tell them of something successful they had achieved in school.

All of the pupils reported having some close friends. Numbers ranged from two to more than fifteen. Four said 'loads', one said 'everybody' and another said 'hundreds, everyone knows me'. Nearly all the pupils said their friends were from diverse ethnic groups. Only two said their friends were mostly of the same ethnicity as themselves: one was a White pupil, the other a Black pupil.

Few difficulties were reportedly encountered outside school, but four mentioned family problems, two mentioned local gangs – one because he was dual heritage and the gangs were Black or White boys - and one who had been ‘held up at gunpoint and needed counselling’.

School issues

Most pupils could give examples of things they disliked or found difficult in school. Examples given including:

‘I don’t like the consequence rules and isolation is wrong’

‘The way they treat Black kids’

One pupil in a PRU had found that his mainstream school had too many supply teachers and too many worksheets to do and this had caused him problems which he couched in terms of criticism of the quality of teaching.

Over half (60%) mentioned PE, games or sport as something they did well. Nearly 20% of the pupils thought they did well at nearly everything.

Half of the pupils did not know if they were on the register for special educational needs and 40% said they had no special educational needs. Only one of the pupils interviewed was ‘looked after’ and the vast majority (90%) had good or excellent attendance records.

Pupils reported having difficulties in encounters with their teachers. They described them as ‘not nice’, ‘not listening’ or ‘no time for kids’. However, one pupil, after having three fixed term exclusions in the previous year, now loved school and knew, ‘exactly where I am going’.

The most common reason for being excluded was fighting (mainly boys, but also some girls). Other reasons cited by pupils included using bad language, disruption in class, violence, having a knife at school, pushing a teacher, hitting a teacher, arguing with a teacher, escaping from the inclusion room, bullying, drug dealing and refusing to take a hat off (a Moslem boy, for religious reasons). Some were reluctant to admit poor behaviour. One said that the accusations were of ‘apparently bullying, apparently drug dealing and apparently thieving’. Another said that the accusations included ‘witnessing a fight’.

Fewer than half (16) of the pupils said that they had a Pastoral Support Plan, and, of those, almost all reported that their parents had been invited to the meeting, almost all of the pupils had helped to set targets and almost all said that the PSP had been helpful. Forty percent said they did not have a PSP and the rest did not know.

Most of the pupils interviewed reported receiving extra support from teachers, mentors, counsellors, behaviour support teachers, youth workers, teaching assistants and friends. One quarter chose the person to give support because they were 'nice, I liked them and they would listen'. Nearly a half did not choose the person who gave them support. The ethnicity of the person giving support was not perceived as important by most of the pupils. Only three felt ethnicity to be important, but of these, one Black pupil chose a White teacher, because she liked her. Pupils seeking a person in school to give support, placed a much higher priority on 'being likeable', 'nice' and 'prepared to listen', than any other criteria, including ethnicity.

Nearly half of the pupils reported being asked to stay at home without an official exclusion. Three pupils said they came back into school accompanied by a parent to a meeting, one was told to stay at home on the last day of term and two were sent home for the rest of the day to calm down.

Nine of the pupils had received counselling in school and two had additionally received counselling out of school. Two said that it had not been helpful. Counselling was provided by victim support, a bully counsellor, a teacher or a mentor.

Pupils were asked what could have been done instead of excluding them. Almost all pupils felt schools had acted too hastily and too strictly. 'They could have listened to my side of the story', 'could have sat down and talked about it' and 'could have given me time to calm down' were typical responses. Some pupils wanted more support in the classroom, keeping them away from trouble, letting them talk to a mentor, moving them to another room. One pupil stated that the school was 'too strict, cared more about its reputation than pupils'.

Staff- pupil relationships

Relationships between teachers and pupils in the schools were considered to be good or fairly good by about half of the pupils, and poor by seven pupils. Two said relationships were mixed and five did not reply to the question. Pupils often reported on the perceived inadequacies of some of the teachers.

‘Teachers should be strict and not shout. Most teachers shout all the time. Teachers should listen. If they want to be treated with respect they should treat pupils with respect. Black children get treated more fairly than White children. A Black girl spat on people, tormented people, bunked lessons, went into other lessons. She only got a half hour detention. Black teachers treat Black girls better’.

‘The school does not listen to my ethnic group. Certain people get into trouble in my ethnic group. I feel I have to walk on eggshells with other groups’.

One pupil went on to a PRU where ‘the teachers take a lot of grief from us, so it’s a good school’. One pupil attending a PRU said ‘School was like the army. A couple of teachers were violent to kids. I got bullied by a teacher and told I was fat’. Teachers in mainstream schools may appear to pupils to apply the school rules governing behaviour in an irregular way, though teachers may see a flexible approach as the key to maintaining good behaviour and discipline.

9.3 Parents’ Responses

Home and socializing

Almost three quarters of the parents said that, ‘life is generally all right for [their child] at present’, ‘he’s fine’ and ‘no problems except at school’. A similar picture emerged for how parents thought things were going in the current year in school for their child. The rest of the parents thought their child did not enjoy school.

School issues

Parents believed that their children found a range of things difficult at school. Problems with teachers, with subjects, the inability to sit still, a short attention span, dislike of school were all seen as problems. More common was the resistance to authority and discipline. None of the parents thought that their child had a PSP, or possibly did not know it by that name (40% of pupils reported having one). None recalled any meeting at the school that appeared to be consulting with them as partners. This conflicts with

pupils' responses where 16 said that they had a PSP and most thought their parents had attended a meeting.

When asked what their children did well at school, parents were more inclined to mention academic subjects than the pupils. Parents' views about their children's friends coincided very closely with those of the pupils. The majority said that their children had many close friends and they were a mix of ethnicities. Only two said that their children's friends were of the same ethnicity as their children – one was a White parent, the other was Asian.

It is clear that, for most of these parents, bullying was a problem in their child's school. A third reported that their child had been bullied and one of these had to move schools to escape it. Three parents confessed that it was their child who was doing the bullying.

Circumstances outside the school leading to difficulties in school were mentioned by only seven of the parents whereas 14 felt that circumstances inside the school presented difficulties. Not surprisingly, most difficulties were perceived as being with teachers in the classroom. There were some comments referring to racism. For example, 'if he had been White, he wouldn't have been excluded' and 'there are tensions with Asian girls - the mixed race girls were excluded but the Asian girls were not dealt with'.

Of those who responded, 16 said that their children had received extra support in class. One parent echoed the pupil view that the ethnicity of their support person was not important: 'They might have thought that because he (my son) is Black his support worker should be Black. That is not right, not necessary. If you are a professional you can work with all ethnic groups. It's a bit like stereotyping. Teachers, for instance, have to teach all ethnicities.'

Seven pupils received counselling which was generally felt to be helpful. Two pupils had counselling from an outside agency. In-school counselling may be provided by a mentor. Only one parent felt that it had not helped.

Parents' experiences of the exclusion process varied widely. A few recognised the support given by the school but more felt that the teachers had made up their minds

beforehand and did not listen to the parents, an echo of the pupil's views. Almost all the parents (19) said that they had not been offered any support by the school or local community, and that they did not know of any services or people that could help them. Most parents said that their children had not received an alternative to exclusion, either in school, at an off site unit or by part-time schooling.

Parents generally reported that exclusion was not having the desired effect on the pupil. It may have solved the problem of disruption, but parents did not perceive it as helpful to the pupil, merely as a punishment. Only two felt that it had a salutary effect on their child.

Staff-pupil-parent relationships

Most parents reported that the school contacted them early, following incidents at school, normally by telephone and letter. Parents may be contacted by senior members of staff, including the headteacher, deputy head, and head of year, or the class teacher. Two parents said they were contacted by a secretary. Only 10 parents said they had ever been contacted by the school to tell them something positive.

Parents who had been asked to make an appointment to come into school to discuss their child's difficulties did not find this an easy situation. These meetings often did not help to establish or strengthen good home school relations, which may well be under some strain. Few parents had a good word for the school's approach to behaviour. The school could be strict or very strict for some, yet not strict enough for others. They could also be '...hypocritical. They welcome you but don't accommodate your culture or religious wishes'. Most parents believed that their child's school had a typical level of behaviour problems in comparison with other local schools.

Relationships between teachers and pupils were considered to be good by only one quarter of parents. This perception seemed to be influenced by the relationship between their children and their teachers. Parents' perceptions of relationships between teachers and parents were again inevitably influenced by their meetings in the context of the difficult behaviour of their children. Few spoke positively of the relationship between school and home.

9.4 Summary

It is not evident, from the responses of the 40 pupils and 20 parents, that there was a very formalised process of establishing Pastoral Support Programmes, and identifying and catering for children at risk. Many parents reported that relationships and liaison with school were inadequate. Any estrangement appeared to increase if communication about problems was not early and candid.

The majority of children who had been excluded from school found school life difficult. For some pupils, a single fixed term exclusion was the only exclusion they would have. Others continued to receive a series of fixed term exclusions and were eventually permanently excluded from their school.

Most pupils who had been excluded from school received extra support from teachers, mentors, counsellors, behaviour support service, youth workers. For the majority of pupils, the ethnicity of their support worker was less important than liking that person and their listening skills. Nearly half of the pupils had been kept in school instead of receiving a fixed term exclusion; this could be an internal exclusion or a unit, detention or being kept in isolation.

Nearly half of the pupils said they had been asked to stay at home unofficially. Many schools are working to improve their relationship both with parents and the local community. Parents and pupils appreciated the occasions when a school contacted the parents with something positive, but this was far less often than the negative contact. Parents recognise the difficulties their children have in school, particularly the resistance to authority and discipline.

CHAPTER 10: COMMUNITY GROUPS

Interviews were carried out with representatives from 14 community groups. They provided information on the role that they did or could play in relation to exclusion. They appeared under-funded and under-used by parents and by schools. They could play a more positive role supporting minority ethnic groups in relation to exclusion.

Key Findings

- Minority ethnic community groups often felt marginalised from government policies and projects.
- Voluntary and community groups offered a valuable, and probably under-utilised, resource for schools.
- There was sometimes friction and too little direct engagement between LEAs and community groups
- Community groups perceived that teachers and school staff lacked specific training on issues of culture and ethnicity, as well as the time to implement practices.
- Parents and community groups, could play a significant part in preventing exclusions and this needs to be recognised and built upon by schools, LEAs and the parents themselves.
- Some minority ethnic voluntary organisations perceived schools as being, in part, explicitly racist.
- Some representatives of community groups judged that schools were not implementing actions to meet their duties under the RRAA.

10.1 Introduction

This chapter reports the findings from interviews with 14 community groups across eight local authority areas. Most of the groups had an advisory and support role for parents, schools and children. Some had more practical support to offer including mentoring and other support in schools and five also ran an alternative education provision, sometimes funded by the LEA. The interviews sought views on minority ethnic exclusions, the nature of the problems and solutions.

10.2 Overview of UK Community Groups and Voluntary Organisations

In 1998 an agreement was drawn up between the government and the UK voluntary and community sector. Entitled 'Compact', the aim was to improve relationships to mutual benefit. The principles were developed into codes of practice, including one specifically relating to Black and Minority Ethnic Voluntary and Community Organisations (Home Office, 2001). This code recognises that Black and minority ethnic voluntary and community organisations are themselves in many cases excluded from policy formation and government engagement within the sector. The code sets out undertakings and commitments required on both sides to overcome this, as well as highlighting examples

of best practice. Furthermore, a Home Office report ‘Strengthening the Black and Minority Ethnic Voluntary Sector Infrastructure’ states that:

‘The Black and minority ethnic voluntary sector has been created on a self-help basis by people directly affected by the problems to be addressed. The wider sector however emerged mainly from middle class people taking a benevolent interest in the disadvantaged’ (Home Office, 1999: 12).

Both types have a role to play - those with a personal attachment to the issues, and the more objective outsider. Such groups have an important perspective on local race relations issues, education and school exclusions and have potentially a practical role to play.

10.3 Strategies to reduce exclusions

Most groups spoke of involvement of parents as being crucial to reducing exclusions., the emphasis being on a holistic approach with schools, parents and agencies working together. As one project worker put it, ‘Parents need to be viewed as part of the solution to a child’s difficulties, not just as someone to blame. Only then will their involvement be meaningful’. Additional strategies included early intervention, ensuring that quality of teaching reflects individual needs, helping children be responsible for their own success, and for schools to work more in partnership with agencies. One youth worker felt strongly that schools were too quick in labeling children rather than behaviours, and that this created a downward spiral for some youngsters.

Five groups mentioned the need for better training for staff in schools on race issues and cultural awareness to prevent difficulties escalating. Two felt that specific training on how to deal with parents from minority ethnic groups was needed to break down barriers. One group observed that ‘Teachers in this LEA have no respect for Black parents’.

Case Example

A community group member indicated the sorts of problems in which they could intervene helpfully. Child X from a minority ethnic group received a fixed term exclusion. The school sent a standard letter home to parents. The mother took great offence to the tone of the letter (‘You should come in to the school...’). In her culture, this was seen as insulting and so the mother refused to cooperate. There is a need to understand ways of communicating diplomatically with parents, including those from minority ethnic groups, and community groups can act as intermediaries.

One group further commented that there should also be training for parents and children on cultural awareness to create a sense of responsibility to self and community. Two groups identified the curriculum as contributing to minority ethnic exclusions by being insensitive to the cultures of the minority ethnic groups within the school.

10.4 School - Community Group Relationships

Relationships between community groups and schools were variable. The most successful relationships were those where a group worked closely with one or more schools, and saw each other as partners; ‘The head calls me in when all his other support mechanisms have failed. He knows what it is I have to offer, and we work together’. Those groups that provided supplementary schooling see partnerships with schools as imperative if children are to be successfully reintegrated. Two groups stated to receive some funding from schools.

Two groups felt that the ethnic categorisation of pupils showed a lack of understanding and caused problems in itself. Certain minority ethnic groups are banded together within a category although their needs may be very different. There are also big differences between second and third generation immigrants and new arrivals; teachers were not trained to understand these differences. There were strong words from a race equality director who declared, ‘I have yet to come across a school which is not institutionally racist’.

Three groups felt that attainment of certain minority ethnic groups was more of a problem than exclusions. Getting the parents to play a role in their child’s education was seen as presenting big challenges to schools and reinforced the need for building relationships between school and parents. Three groups suggested that classes should be run in the school for parents to help them understand what their children were doing in school and how they could help.

Good Practice Example

The leader of an ethnic advisory service held a coffee morning for parents every week in the local school where he was a governor. This was an opportunity to keep parents, a high proportion of whom are from minority ethnic groups, informed on what their children are doing in school, and also got the parents talking to each other and sharing concerns. ‘When I first started these coffee mornings I had about 10 parents attending, we now get around 100’.

Two groups mentioned inter-racial tensions and saw these as a consequence of groups sticking together with their 'own kind' and not interacting. More extreme developments of this were gangs. One community group leader stated that a high proportion of children in the area were already affiliated with a gang by the time they left primary school. One group had noticed the lack of positive role models for children from within the community. It was reported that children did not see local people as achievers.

Views were divided amongst those interviewed between the responsibility for poor behaviour lying with the school or home. There were positive comments about the large number of 'good children' and good behaviour which needed to be acknowledged and rewarded more. Three groups felt strongly that schools operate a system of punitive discipline which did not recognise the potential for development through discipline. One claimed 'Exclusion has replaced the cane' in terms of the ultimate punishment. Another had seen many cases of bright children being placed in lower ability sets because of behaviour, the result being boredom from lack of challenge leading to more disruptive behaviour.

There was an acknowledgement of the greater number of support staff now available in schools, e.g. teaching assistants, counsellors, mentors, who can support children and parents to help prevent exclusion. The need for more effective communication with the children was mentioned in order for children to feel respected by staff in the school; the presumption being that they will in turn show more respect for the staff and adjust their behaviour accordingly. Two groups were concerned that inclusion units were being used to mask exclusion figures.

Good Practice Example

A race equality worker (part of an action group) reported being shown round a school by the head teacher along with three men from the LEA. A boy, obviously upset, approached the party and politely asked the head if he could speak to him. Immediately the head excused himself from the visitors and focused 100% on the boy, giving him the time he needed. The action group leader felt that this is exactly how it should be in a school - the children are the priority.

10.5 The Role of Community Groups

The fourteen community groups and voluntary organisations interviewed offered a wide range of services and support. Most significant were supplementary schooling, mentoring and minority ethnic advisory services. Other areas covered included advocacy, race equality action and monitoring of racial incidents.

Good Practice Example

A boy from a minority ethnic group had allegedly caused considerable problems in school and had been reduced to part-time schooling. The community group stepped in and found voluntary work for the boy on the days he was not in school. This kept the boy off the streets and gave him a sense of self-worth. They are now helping to reintegrate him into the school full time.

There were differences in how groups perceived their own community integration. One organisation said that they were there for everyone in their community, ‘from the cradle to the grave’, and all the staff were part of the same community. ‘Our minibus driver saw one of our lads out very late, so he stopped and delivered him home’. The role of some other groups necessitated staying somewhat distanced from the community as a whole in order to focus on specific targeted work. Clearly the amount of funding and its source dictated to a certain degree what and how much work was done by a group.

10.6 LEAs

Five of the groups were funded in part by their LEA. These were the groups that felt most that their work was valued by the LEA. Of those groups not receiving LEA funding, some spoke of good relationships being developed with individuals within the LEA who were helpful in providing information.

There was a sense amongst the community groups that the LEAs stayed somewhat at arms length from the community, addressing issues at a superficial level, with information not filtering through. One response was, ‘They don’t know their customer, so how can they service them?’ Four of the groups specifically commented that the LEA should link more directly with the community and parents. There were comments that LEAs should allow parents to be more of a driving force, and need to take note of what is happening at the ‘grass roots’ level. One group did however comment that some of the positive changes in schools could be attributed to influence from the LEA. Another group had been directly introduced to schools by the LEA. One group felt that the LEA should think seriously about building community groups into the overall structure of the LEA, whilst still allowing them to remain independent.

Eight groups felt their LEA had a poor record on minority ethnic exclusions, with two groups stating that ‘back door’ exclusions were masking the true picture. One group leader commented that, ‘many children from minority ethnic groups suffer for the rest of their lives because they have been failed by the school system’. There was an

acknowledgement that staff from LEAs attended relevant courses and training sessions, but it was unclear how much of this was put into practice.

10.7 Race Equality Issues and the RRAA

Around half the groups interviewed had noticed some positive guidance on race issues coming from the LEA, as well as offering training. The rest either had no comment or were unaware of what was being done in this area. There was limited knowledge about the full requirements of the RRAA amongst the community groups, but those that did comment on it (eight) felt that the requirements were not being implemented. Five of these groups suggested that, whilst the LEA issued directives, produced templates and offered guidance, they did not follow this up with the schools to ensure and monitor implementation. One group felt that the RRAA was not being taken seriously enough and ‘too many people are getting away with not doing anything’.

10.8 Summary

It is evident that voluntary and community groups servicing minority ethnic communities offer a valuable, and probably under-utilised, resource for schools and the LEA. There are examples of good relations developed with schools and the LEA, but often there is friction, too little funding and limited direct engagement between LEAs, the community and community groups.

There is a perception amongst some community groups that teachers and school staff lack specific training on issues of culture and ethnicity as well as the time and commitment to implement practice. Parents have a pivotal role to play in the education of their children and schools do not always involve parents sensitively. Community groups can be a useful conduit to the parents in the community.

Some representatives of community groups judged that schools were not implementing actions to meet their duties under the RRAA.

CHAPTER: 11 CONCLUSIONS AND RECOMMENDATIONS

11.1 Introduction

Progress has been made in the past eight years in reducing permanent exclusions, reducing minority ethnic exclusions and the disproportionate exclusion of Black Caribbean and Other Black background pupils. There are impressive policies and practices in place in some schools and across some LEAs to reduce exclusions and targeted strategies to reduce Black exclusions. In a significant minority of secondary, primary, special schools and PRUs it would appear that the general and specific duties of the RRAA are not being fully met. Thus, institutional racism can be said to persist in some educational organizations and in the wider system that does not press effectively for full compliance.

Institutional racism can be evident in education through processes which are administered differentially, or experienced differentially, or through outcomes which are quantitatively different for different ethnic groups. Institutional racism, as described in the Macpherson report and accepted in the RRAA, is ‘The failure of an organisation to provide an appropriate and professional service to people because of their colour, culture or ethnic origin’. The general duty is spelt out in the CRE statutory *Code of Practice on the Duty to Promote Race Equality*. Repeating the RRAA section 71(1), it states that all those to whom the Act applies shall, ‘have due regard to the need a) to eliminate unlawful racial discrimination; and b) to promote equality of opportunity and good relations between persons of different racial groups’ (CRE, 2002a: 15). Specific duties are then placed on educational institutions, arguably more demanding than on other institutions including the police. The specific duties mention the duty to ‘prepare a “race equality policy” ... have in place arrangements for fulfilling .. its (general) duties ... maintain ..the statement’. It goes on in more detail to require that the body/school ‘assess the impact of its policies ... on pupils, staff and parents of different racial groups including, in particular, the impact on attainment levels of such pupils; and monitor ... the operation of such policies including, in particular, their impact on the attainment levels of such pupils ... publish annually the results of its monitoring’ (CRE, 2002a 36/37). It is the specific duties to *assess*, *monitor* and *publish* that are the central focus of the legislative drive for race equality in education. Clearly described though it is, the legal language and the precise though limited expression of the duties may not be strong enough to call for

sufficiently rigorous collective self review for institutions to be aware of where they stand in relation to their processes and outcomes and their impacts on different ethnic groups. How far the practical logic of what you MUST do extends, has not been rigorously tested by inspection or litigation in education.

The disproportionalities, in terms of exclusion and attainment, are institutionally racist outcomes routinely produced as a matter of organisational practice – however unwitting. The defence of unwittingness is weakened if the school and LEA have not assessed, monitored and published data on exclusions, attainment and other outcomes by gender and ethnicity. On a national level, the defence is eroded further if state agencies do not scrutinise and report on racial inequalities and positive action that is, or is not taken, to address these.

This final chapter examines the findings from this research under the headings of the three objectives and associated research questions. It considers particularly the extent to which the disproportionality in school exclusions is assessed and monitored and the extent of positive action to address inequities revealed by such assessment and monitoring. The final section sets out recommendations for agencies at different levels.

11.2 Mapping Patterns of Minority Ethnic Exclusions in Schools in England

Good progress has been made in reducing exclusions overall in the past eight years. Disproportionality rates, compared with White permanent exclusions, have also fallen over this period for Black Caribbean pupils from 4.3 to 3.1 and for Any Other Black background pupils from 3.9 to 2.6.

The attainment of Black Caribbean and Black Other pupils is consistently below average, with greater differentials as pupils progress through the school system. These disadvantages would appear to be replicated for some groups of mixed heritage in the new ethnicity codes. The full list of minority ethnic groups which continue to be excluded, permanently and for fixed periods, at rates significantly higher than the average is as follows:

- Travellers of Irish Heritage
- Gypsy/Roma
- White and Black Caribbean

White and Black African
Black Caribbean
Any Other Black background

The disproportionality for Black pupils remains even when a range of other factors are taken into account. This study has concentrated on the Black Caribbean, Black African and any other Black Background pupils, in some cases treating them as a single 'Black' group. The concern over recurrent disproportionality in any group should receive attention but small numbers impede analysis. The focus on Black, and particularly Black Caribbean pupils, where the numbers are over 300, allows the statistical analysis to conclude that, even taking account of FSM and SEN, Black Caribbean pupils are excluded permanently at 2.6 times the rate of White pupils. Analysis by age and gender as well as ethnicity reveals large variations, with, for example, the underlying rate of exclusions for 12 year old Black Caribbean girls being 1.9 times the average for 12 year old girls in general, but the rate for 15 year old Black Caribbean boys 3.7 times higher than for average 15 year old boys.

From the analysis of 800 excluded pupil audit sheets, fewer excluded Black pupils had attendance problems and fewer were on the higher levels of the special educational needs code of practice. In terms of reasons for exclusion, Black pupils were more frequently recorded as being excluded for offences related to violence, usually against other pupils, and less likely to have been excluded for classroom disruption. Such factors need to be recognised as risk indicators which schools can take account of.

Black exclusions occurred mainly in 45 LEAs (2002/03). Overall, these LEAs tended to be higher excluders. Examining the characteristics of LEAs which were high excluders in terms of ethnic diversity (percentage of the school population that was Black), rates of special educational needs and deprivation (rate of free school meal entitlement) leads to fairly inconclusive findings with moderately low correlations. Of the 45 LEAs with significant proportions of Black pupils, 40 excluded disproportionately and, for 22 of them the disproportionality was greater than 2, i.e. more than twice as many were excluded than the overall average rate. Examining Black permanent exclusions against rates of free school meals in the 24 LEAs with Black pupils numbering over 1000 and constituting more than 10% of their school populations, there appeared to be a negative

association between high rates of Black exclusions and high levels of FSM entitlement and higher levels of special educational needs.

In the 12 LEAs which were visited and which contained the visit samples of schools, the exclusion rate dropped in 10 LEAs. In the secondary schools in the visit sample, the overall permanent exclusion rate fell over the two years but remained at about twice the national average. Evidence suggests that the investment in social inclusion projects and the creation of alternatives to exclusion has achieved some success.

11.3 Measures taken under the RRAA to reduce disproportionate levels of minority ethnic exclusions

Ten secondary schools, six primary schools and four special schools and PRUs were demonstrating very good practice in relation to exclusions and minority ethnic issues. There is a basis of understanding and experience of what works in these schools and some LEAs appeared to be better equipped to support their schools in establishing and sustaining appropriate assessment and monitoring and positive action.

All educational institutions are required to have a race equality policy and in some cases this is allied with the equal opportunities policy. If schools and LEAs are to be prompted to attend to more than 'opportunities', they need to go beyond a focus on processes. Without a requirement to gather and publish data about their exclusions in terms of ethnicity, i.e. assess and monitor systematically and quantitatively, the discussion within schools and LEAs cannot proceed productively, though the small numbers involved and the large fluctuations from year to year in minority ethnic permanent exclusions mean that the statistics need to be treated with caution. It would appear that education, along with a number of other public authorities, needs to do more to fulfil its obligations under the RRAA.

A range of documentation and guidance is available from the DfES and CRE to promote race equality. LEAs have been involved in disseminating information to schools and supporting them in the development of race equality policies. Ofsted inspection publications require that inspectors look at any differential outcomes by ethnicity and to comment on these. In only three of the most recent inspection reports of the 12 LEAs, and in very few inspection reports of schools was disproportionality in permanent and

fixed term exclusions discussed. This omission occurs despite the explicitness of the guidance for Ofsted school inspectors. Amidst the range of priorities that schools are to address, matters of racial equality with regard to exclusions do not retain a high position. Osler and Morrison (2002) reported on Ofsted inspections, soon after the passing of the RRAA, that Ofsted reports did not deal to any great extent with minority ethnic issues. It is clear that at the national level through key organisations, the requirements to review disproportionality and outcomes amongst ethnic groups should be strengthened.

11.4 Informing future policy in exclusion, particularly Black and minority ethnic exclusions

LEAs and schools, by their policy and practice, do make a difference. LEA documentation and training can keep race equality in a prominent place on the school improvement agenda. Some LEAs had set targets for the reduction of exclusions overall and for minority ethnic exclusions. An extra set of processes may be helpful to support minority ethnic pupils at risk of exclusion. At school level, it was reported that the following support a more explicit fulfilment of the schools' race equality duties:

- public commitment through regular review of policies;
- training on curriculum content in a multi-racial, multi-ethnic society;
- training for classroom management and personal relationships for race equality;
- training for governors on the RRAA and their roles in exclusion and minority ethnic issues;
- action planning at school level setting targets for the reduction in exclusions, especially minority ethnic exclusions and determining the processes that will aid this;
- specific projects such as mentoring, counselling, youth work and preventative initiatives for vulnerable groups;
- appropriate personnel and a school environment which support pupils being listened to;
- adequate personnel and practical policy about collaboration with the home;
- constructive links with minority ethnic community groups;
- a range of alternative provision which is supportive, involves effective multi-agency working and ensures achievement when exclusion is under consideration;

- a review of what merits exclusion.

The race equality impact assessment process does not appear to be well understood by schools as a process of gathering and analyzing data about pupil performance by ethnicity and discussing differential outcomes for minority ethnic pupils.

The institutional structures to support learning and behaviour were cited as essential, with special educational needs provision to assisted children through individual education plans (IEP) and pastoral support programmes (PSP) as particularly important.

Support from groups from the minority ethnic communities was considered very helpful for all parties when discipline problems were identified. Usually these organisations had a focus on a single ethnic group, or were faith groups, and had close contact with families.

Specific strategies for Black pupils, particularly Black Caribbean pupils, included the use of Learning Mentors and Black Youth Workers who could also visit and work with Black parents (though the ethnicity of the worker was not always seen as important). Other strategies which appeared to help to reduce exclusion figures included the use of inclusion units, social skills courses and anger management training, mentors, counsellors, restorative justice and assertive discipline.

With the availability, before exclusion, of the PRUs, part-time schooling and dual registration, managed moves and internal exclusion units, the need for formally excluding was reduced. Funding from EiC and BIP appeared to have contributed to the reduction of permanent and fixed term exclusions by allowing funding to be channeled into resources aimed at prevention or alternative provision.

There is no doubt that much increased funding has been made available to address disadvantage, under-performance and social exclusion in education. EiCs, EAZs and BIP have been particularly effective, as perceived by head teachers, in funding personnel and initiatives to address disaffection. Undoubtedly this needs to continue and should be seen in terms both of dealing with the problems when they arise (e.g. exclusions) and engaging in preventative work with younger children deemed to be at risk and with vulnerable groups.

11.5 Recommendations

National Government Agencies

- i) The meaning and implications of institutional racism should be re-emphasised. ‘Institutional racism’ needs to be operationalised for the education service at school, LEA and national levels. Documentation already exists to indicate more explicitly what counts as institutionally racist (however unwitting) in processes or outcomes in the provision of the service. Straightforward techniques for checking the presence of institutional racism and ready means to set in place positive action, which should be sharply focussed and well monitored, need to be implemented.
- ii) Guidance, support and enforcement make it clear that schools, LEAs and the DfES should calculate disproportionalities in minority ethnic exclusions, consider the justice of such disproportionalities that are found, and institute positive action if a disproportionality is deemed unjustified. Such conformance with the general and specific duties placed on schools by the RRAA should be explicitly checked through DfES funded support projects (EiC, BIP, etc), by Ofsted and LEAs.
- iii) Guidance for schools and other educational institutions on what counts as a race equality impact assessment and how an action plan may be developed from their policy and data about themselves needs further, or renewed, support. In particular, the CRE (2000) *Learning for All* document, with associated instruments on disk, could very usefully be updated from its 2000 version to align with current ethnic codings and this could be distributed to all schools along with the software previously produced and also updated. The more recent CRE (2004) *Race Equality Impact Assessment: a Step-by-Step Guide* may fulfil this role but its application to the exclusion issue will need to be stressed and the *requirement* that schools use it or something like it needs to be enforced.
- iv) The DfES should ensure that, for permanent exclusions, fuller data are available at pupil level. The data currently cover age, ethnicity, gender and SEN status. They should also include free school meal status and post code. This would enable a fuller and more sophisticated analysis, particularly helpful in introducing more comprehensive attention to poverty and deprivation factors.

- v) The funding for such schemes as EiC, EAZ and BIP should be continued and refined. In particular, they should be linked to clearly quantitative targets which LEAs, and schools collectively within an LEA, can work to.
- vi) Ofsted inspection reports of schools and LEAs should set out data on disproportionality in attainment and exclusions by gender and ethnicity, and possibly by free school meals (a proxy socio-economic status variable) and reports should comment on disproportionality.
- vii) There should be further dissemination of good practice in the prevention of exclusion and in the management of behaviour difficulties in schools, especially with regard to minority ethnic pupils. Strategies deemed successful in countering disproportionate minority ethnic exclusions include mentoring, restorative justice, specially targeted groups, in-school inclusion units, community group input, strengthened links with parents, collaboration with special schools and PRUs. These approaches are best applied in school contexts where RRAA training has taken place, equality issues are high profile and the school ethos is welcoming and supportive. Many of these strategies work with ALL groups.
- viii) The DfES and other government departments should continue investment in support and prevention programmes which appear to lead to reductions in exclusion and possibly minority ethnic exclusions: Excellence in Cities (EiC), Behaviour Improvement Programmes (BIP), Leadership Improvement Grant (LIG) and Ethnic Minority Achievement Grant (EMAG).

Local Education Authorities

- ix) LEAs should increase attention, in areas where there are substantial proportions of Black pupils, to matters of racial equality, with emphasis on monitoring of process and outcomes. They should analyse fixed term and permanent exclusions by ethnicity for each school, giving disproportionality scores for each school in their LEA. They should support schools in devising positive actions to counter disproportionality and monitor the effectiveness of these.
- x) LEAs should develop further the collaborative structures across school clusters to support temporary placements of pupils in neighbouring schools and broker other

mutually supporting schemes which might usefully capitalise on the skills and facilities of special schools and PRUs.

- xi) LEAs should make more information available for parents on statutory and voluntary agencies that can support them in relation to exclusions or risk of exclusion.

Schools and community organisations

- xii) Data in schools should be systematically collected by ethnicity, age and gender on all major school processes and outcomes, especially attainment, attendance, exclusions and other disciplinary practices. Schools should rigorously analyse these data, discuss at the highest levels their implications and develop action plans. The results of the monitoring should be available to governors, the LEA and other groups.
- xiii) Schools should share expertise and good practice within the school and with any networks of schools.
- xiv) Pastoral Support Plans should be more systematically created and have a higher profile with pupils and parents. The procedures for setting them up, reviewing them and maintaining the involvement of parents appear weak.
- xv) Primary, secondary and special schools, as well as PRUs, should develop ways of liaising with parents and community organisations, especially Black and minority ethnic parents and organisations, more effectively. This may involve using community organisations, building capacity in community liaison and appointing staff dedicated to involving parents.
- xvi) In-school training should be made available on tackling minority ethnic exclusions and this should extend through initial, induction and continuing professional development.
- xvii) The specialist skills and facilities of special schools and PRUs should be used in a more integrated way. Outreach programmes operated by these have much to offer schools in terms of retention of at risk young people and in relation to reintegration.

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Appendix A 1. Information sheet



INFORMATION SHEET

MINORITY ETHNIC EXCLUSIONS AND THE RACE RELATIONS (AMENDMENT) ACT 2000

This research project has been commissioned by the DfES to examine the incidence of exclusions and the relationship with ethnicity in 10 LEAs. The LEAs have been chosen using PLASC (Pupil Level Annual School Census) data and a form of statistical modelling which takes account of data on ethnicity and exclusion rates. Schools within the LEA have been selected as likely to provide helpful data in a range of ethnic and exclusion contexts.

The aims of the project are to:

1. map patterns of minority ethnic exclusions in all English LEAs.
2. examine the impact of measures taken under the Race Relations (Amendment) Act 2000 to reduce the disproportionate levels of minority ethnic exclusions and to highlight examples of good practice.
3. provide information to schools that historically have excluded more minority ethnic pupils on average.
4. to inform future policy on exclusion with a particular emphasis on black and minority exclusions.

The project is in three phases over two years:

Phase 1 (September 2002 – January 2003) uses data to identify exclusion rates in LEAs in England, particularly LEAs with a high proportion of exclusions, and/or a high percentage of minority ethnic pupils. In addition a complex statistical model will be established for use in interpreting the findings of Phases 2 and 3.

In Phase 2 (February 2003 – August 2003) eighty-four schools (50 secondary, 20 primary, 10 special and 4 PRUs) with a range of levels of minority ethnic exclusions, in the 10 LEAs, will be visited by one member of the Canterbury Christ Church University College Team for 1 day. Policy and practice in relation to the Race Relations (Amendment) Act 2000 and examples of good practice will be gathered from schools, interviews will be arranged with the head teacher, a governor and members of the senior management team with responsibility for school policies, particularly concerning behaviour and the race equality policy. The data collected from LEAs and schools will be analysed on three sets of variable:

1. pupils' ethnic identities
2. pupils' permanent or temporary exclusion
3. other variables e.g. SEN level, attainment, free school meals, postcodes

In Phase 3 (September 2003 – August 2004) a shorter visit will be made to the 84 schools, information will be sought on exclusions to compare them with the data collected in the previous year. Some parents will be approached for their views on the exclusion experience of their child. This will be a sensitive issue requiring a first approach to a parent by the school and guarantees of anonymity. Data protection issues, with regard to the school data on individuals will be addressed. The data gathered will be analysed statistically to examine the extent to which there have been changes in schools and LEAs in the rates of exclusion, particularly of minority ethnic exclusions, and in policies to support this. There will be feedback to the individual schools; they may wish to engage in discussions with the LEA.

The Project Team:

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Dr Ray Godfrey (Co-Director)
Gill Annan (Research Fellow)
Simon Hepburn (Research Associate)
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Appendix A 2. LEA interview schedule

INTERVIEW – LEA

LEA NAME: PERSON INTERVIEWED:

ROLE: DATE: INTERVIEWER:

Introduction; confidentiality

- 1) We know that the minority ethnic group school population in the local authority is quite high/quite low. [_____]
 - i. Do any issues arise from this?
 - ii. What challenges does this present to local schools in meeting their needs?
 - iii. What does the LEA do to practically address these identified needs?
- 2) How is the LEA actively supporting schools in their race equality work, particularly in relation to the RRAA?
 - i. What guidance, information and resources is the LEA providing to schools in relation to the RRAA and race equality?
 - ii. What is the LEA doing to co-ordinate work on implementing the RRAA in schools across the LEA?
 - iii. What is the LEA doing to monitor schools' implementation of the RRAA?
 - iv. What is the LEA doing to identify and disseminate good practice in achieving race equality in schools?
 - v. How is the LEA helping to develop positive links between schools and local communities?
- 3) We know the rates of permanent exclusion from schools in the LEA and the trend over recent years. 2000-2001 _____ ; 2001-2002 _____
 - i. Are there any strategies in place to support schools, e.g. do you set targets after monitoring school exclusions?
 - ii. Do you monitor reasons for exclusion by ethnicity/gender? (please give details)

- 4) a. Please give information on temporary exclusions in 2001-2002:

<i>DAYS</i>	<i>Number of exclusion events</i>
0 – 5 days	
6 – 15 days	
Over 15 days	

- b. What are the main reasons given for fixed period exclusions?
- 5) What publications and guidance information on minority ethnic groups and exclusions does the LEA provide to schools to assist them?
- 6) How does the LEA monitor exclusion rates in schools?
- 7) How does the LEA use data to set improvement targets for minority ethnic groups? (Attainment? Attendance? Exclusions?)
- 8) Are there any recent changes in advice from LEAs about minority ethnic groups and their educational provision?
- 9) Are there any recent changes in advice produced by the LEA about reducing exclusions?
- 10) What are the successful strategies for raising achievement and promoting social inclusion of minority ethnic groups?
- 11) a) What, in your view, are successful strategies to reduce exclusion?
 b) Are these successful in reducing exclusions amongst minority ethnic groups?
- 12) Are strategies for reducing exclusion evaluated? Yes/No
 Please give details
- 13) What impact have EAZ (Education Action Zones), EiC (Excellence in Cities) and the Pupil Retention Fund money had on reducing exclusions in general?
 - In relation to minority ethnic pupils?

- ii. What is the LEA doing to co-ordinate work on implementing the RRAA in schools across the LEA?
 - iii. What is the LEA doing to monitor schools' implementation of the RRAA?
 - iv. What is the LEA doing to identify and disseminate good practice in achieving race equality in schools?
 - v. How is the LEA helping to develop positive links between schools and local communities?

- 4) Have there been any changes in advice you receive about reducing exclusions?
(Prompt: DfES/RRAA)

- 5) What would you say are the specific behavioural and discipline issues for your school?

- 6) What strategies have you tried aimed at reducing exclusions in general?

How successful have these been?
(do some apply specifically to minority ethnic pupils?)

- 7) Are there strategies that you have tried aimed specifically at reducing permanent exclusions?

How successful have these been?
(do some apply specifically to minority ethnic pupils?)

- 8) Are there any new strategies planned but not yet tried?
(do some apply specifically to minority ethnic pupils?)

- 9) How are strategies to reduce exclusions evaluated?
 - i. Are exclusions monitored by ethnicity/gender?
 - ii. Are reasons for exclusions monitored by ethnicity/gender?
 - iii. How do the results of monitoring inform practice?

- 10) What criteria determine the length of a fixed-term exclusion?.

- 11) What sort of incident warrants a fixed-term exclusion?

- 12) How would you describe the role of the governors on the discipline committee?
- 13) How involved are parents with the school?
 - i. At what point is a parent contacted when there is a risk of exclusion?
 - ii. How are they involved prior to a decision to exclude?
 - iii. What is done specifically for ethnic minority parents?
- 14) Have your staff and governors been offered training for the Race Relations (Amendment) Act 2000?
 - i. Who provided the training?
 - ii. How many staff have undergone training?
Who has been trained? TAs? Midday supervisors?
- 15) What monitoring takes place in the school by ethnicity/gender in respect of:
 - a. Punishment?
 - b. Racial Harassment?
 - c. Bullying?
 - d. Referrals to Learning Mentors?
 - e. Referrals to LSU?
 - f. Attendance/truancy?
- 16) How is this monitoring data used to inform policy and practice?
- 17) Are there any other factors that may affect the whole school in relation to the Race Relations (Amendment) Act 2000?
- 18) What support or guidance from the DfES and other national educational bodies is needed in order to help schools tackle racism, and promote race equality and good race relations?

- 9) Do staff know whom to contact for support and guidance relating to minority ethnic groups?
Who is it? Yes/No
- 10) a. How are pupils supported in relation to behaviour management?
b. Is there any specific support targeted to minority ethnic pupils?
- 11) Are there any units on site or outside that can be used for behaviour difficulties?
Yes/No
- If 'Yes' where are they?
- Are these referrals monitored by ethnicity?
- 12) a. How will a Race Impact Assessment be of use to you?
b. Has the school assessed the impact of its behaviour policy on pupils from different ethnic groups?
- If yes, how has the assessment influenced policy and practice? Has the school developed or revised policies as a result of the impact assessment?
- If no, when will the policy be assessed?
- 13) Have the staff and governors had any training for the Race Relations (Amendment) Act 2000?
Yes/No
If 'Yes' when and for how long?
If 'No' is any training planned for the future?
- 14) Are you planning any new strategies for minority ethnic pupils?
Yes/No
If 'Yes' what are they?
- 15) What is thought to work to help minority ethnic pupils?
- 16) How are new strategies being evaluated?
- 17) How is the LEA supporting the school with its race equality work, particularly work relating to implementation of the duties arising from the RRAA?
i. What guidance, information and resources is it providing to the school?
ii. How is it helping you to identify good practice? Does it systematically disseminate good practice? Is it co-ordinating work undertaken by schools across the LEA?
iii. Is it helping the school to develop positive links with local minority ethnic communities?
iv. Is it monitoring how you implement your duties under the RRAA?
- 18) What support or guidance from the DfES and other national educational bodies is needed in order to help schools tackle racism, and promote race equality and good race relations?

- 9) a. Has the school established its arrangements for assessing the impact of policies, including the Race Equality Policy, on pupils, parents and staff from different ethnic groups?
Yes/No
- If yes, has the school begun this assessment?
- b. Has the school assessed its behaviour policy or assessed other policies for their impact on the rates of exclusion of pupils from different ethnic groups?
- If no, when will the school establish procedures for assessing the impact of policies on pupils, parents and staff from different racial groups?
- 10) How will the Race Equality Policy be of use to you?
- 11) How will a Race Impact Assessment be of use to you?
- 12) Have the staff and governors had any training for the Race Relations (Amendment) Act 2000?
Yes/No
- i. Who provided the training?
- ii. How many staff have undergone training?
- iii. If 'No' is any training planned for the future?
- 13) Are you planning any new strategies for minority ethnic pupils?
Yes/No
If 'Yes' what are they?
- 14) a. What strategies and initiatives do you think are effective in raising minority ethnic achievement and/or reducing minority ethnic exclusions? Why?
- b. What support or guidance from the DfES and other national educational bodies is needed in order to help schools tackle racism, and promote race equality and good race relations?
- 15) Are new strategies being evaluated?
Yes/No
- If 'Yes' what have been the findings of the evaluations?

- 9) Are you aware of the school's Race Equality Policy? Yes/No
- i. Do you have a copy of it? Yes/No
 - ii. How helpful do you think the Race Equality Policy will be?
 - iii. How will the policy impact on behaviour and exclusions policy and practice within the school?
- 10) Have your governors been offered training for the Race Relations (Amendment) Act 2000? (By whom? Governor Support Service?)
- i. If 'Yes' how many governors have undergone training?
 - ii. Has this helped to raise governors' awareness of race issues relating to behaviour and exclusions?
- 11) What monitoring takes place in the school by ethnicity/gender in respect of:
- a. Punishment?
 - b. Racial Harassment?
 - c. Bullying?
 - d. Referrals to Learning Mentors?
 - e. Referrals to LSU?
 - f. Attendance/truancy?
- How is this monitoring data used to inform policy and practice?
- 12) a. Have there been any changes in advice you receive about ethnic groups?
- where from?
- b. What support or guidance from the DfES or other national educational bodies is needed in order to help schools tackle racism, and promote race equality and good race relations?
- 13) Are there any new strategies for provision for minority ethnic groups? Yes/No
If 'Yes' please describe
- 14) Are there any other factors that may affect the whole school in relation to the Race Relations (Amendment) Act 2000?

Appendix A 7. Excluded pupil audit sheet

**FIXED TERM/PERMANENT EXCLUDED PUPIL AUDIT SHEET
(YEAR TWO 2002/2003)**

School	
School staff member and role	
Date	
Interviewer <i>(Or completed by school)</i>	
CASE ID <i>(We will assign ID number)</i>	
* Date of birth	
* Place of birth	
* Sex	M / F
* Ethnic group	
* Year in school	
* Date of entry in school	
* Refugee status	Y / N
* Religion	
* 1st language	
* Other languages	
English as an additional language support currently received	
* Number of schools attended since Sept 2001	
* Number of addresses since September 2001	
* Present postcode	
* How long at this postcode	
* Family background, structure of family	
Family involvement with school - positive/negative (how supportive?)	
* Health issues in family	
* Free school meals	Y / N
Attendance record 2002/03	
Police record	Y / N / Not Known
“Looked after child”	Y / N
Behaviour issues	
Identified Special Needs	Y / N Action Action plus Statement
Individual Education Plan	Y / N Learning/Behaviour/Both Brief details:

* Could be completed by an administrator

Mentoring	Y / N Brief details, e.g. ethnicity of mentor:	
Provision for inclusion in school <u>related to this case</u>		
Pastoral Support Programme	Y / N Brief Details:	
Involvement of outside services	EWO	
	Educational Psychologist	
	Child and Adolescent Ment.Hlth.Serv.	
	School Health Service	
	Behaviour Service	
	Learning Support Service	
	Social Services	
	Youth Service	
	Police	
Other (detail)		
Community links with school – e.g. Ethnic Minority or Faith Groups <u>related to this case</u>		
Academic achievement (details of KS assessments)		
Other achievement in school		
Counselling – outside agency or school provision		
Friends		
Number of temporary exclusions (2002 – 2003)		
Details of exclusions		
Total Time (days) excluded from school in 2001/02 Appeals? Y / N		
Factors leading to permanent exclusion – one or more permanent exclusions		
Subsequent experience with this pupil in 2003/2004		

Please give the completed sheet to the researcher on their visit to your school

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Appendix A 8. Pupil interview schedule

EXCLUDED PUPIL INTERVIEW

School: **LEA:** **Interviewer:** **Date:**

My name is I work at Canterbury Christ Church University College as a researcher. I am working on a project which is looking into exclusions from school, especially in relation to ethnicity. We will not write your name on any of the recording sheets and you will not be identified in any reports we write. We would like to ask you some general questions about you and your school experience.

Are you happy with this - do you have any questions?

This box to be filled in prior to interview with pupil

School	Date	
Case ID	Interviewer	
Date of birth		
UK born	Y/N	
Sex	M/F	
Ethnic Group	(attached list A)	
Year in school		
No. of schools attended (Prim/Sec)		
Refugee	Y/N	
Religion		
Ist language English	Y/N	
Support for English as a second language	Y/N	
Present postcode		
FSM	Y/N	
Attendance record 2002-2003	Poor/good/excellent %	
Overall	Poor/good/excellent %	
KS 2/3/4 results	English	Maths Science
Involvement of outside services	EWO	
	Educational Psychologist	
	Chld and Adolesc. Mental Hlth Serv	
	School Health Service	
	Behaviour Support Service	
	Learning Support Service	
	Social Services	
	Youth Service	
	Police	
Other (detail)		
Identified special needs	Non registered	
	Action	
	Action plus	
	Statemented	
'Looked after child'	(Current - 1, past - 2, no - 3)	

SECTION 1 - GENERAL BACKGROUND

- 1. Can you tell me how life is for you in this area and in this school?
(family/home/locality)
.....
- 2. How are things going for you this year in school?
.....
- 3. Are there things that you don't like or find difficult at school?
(Behaviour/learning)
.....
- 4. What things you do well at school?
- 5. How many close friends do you have?
Can you tell me something about your friendship circle? *(Prompt - are they of the same ethnicity)*
.....

SECTION 2 - SCHOOL ISSUES

- 6. Are there any circumstances outside the school which affect you and make for difficulties in school?
.....
- 7. Are there circumstances inside the school which present difficulties for you - anything to do with curriculum/relationships?
.....
- 8. Do you have a Pastoral Support Plan? Y/N/don't know
(See audit sheet)
If 'Yes' were your parent(s) invited to the meeting to plan the PSP? Y/N/don't know
Did you help set the targets? Y/N/don't know
Has the PSP been of any help Y/N/don't know
- 9. What sort of things have you done to get into trouble in the last year?
.....
- 10. Did you get into trouble at any particular time in the day?
Before school / Morning / Lunch / Afternoon / After school
- 11. When did the school get in touch with your family about the problems at school?
early/middle/late
- 12. How did the school get in touch with your family when you got into trouble?
letter/phone/both
- 13. Did the school get in touch with your family when you did something good?
Y/N/don't know
(What about?, who was it? – Teacher, TTA etc)

Appendix A 9. Parent interview schedule

PARENT INTERVIEW SHEET

If the parent and the son/daughter are interviewed together it may not be necessary to ask questions which are the same in both questionnaires– it is preferable to have two separate interviews

Read Pupil Audit Sheet

SCHOOL: LEA: PERSON INTERVIEWED:

ROLE: DATE: INTERVIEWER:

My name is I work at Canterbury Christ Church University College as a researcher. I am working on a project which is looking into exclusions from school, especially in relation to ethnicity. We will not write your name on any of the recording sheets and you will not be identified in any reports we write. We would like to ask you some general questions about your child and their school experience as well as some details about your child’s exclusion(s)

Are you happy with this – do you have any questions?

SECTION 1 - GENERAL BACKGROUND

1. Can you tell me how life is generally for your child at the moment?
(Home/Community)

.....
.....

2. How do you think things are going this year in school for your child?

.....
.....

3. What does your child find difficult at school? *(Behaviour/learning/attendance/ truancy)*

.....

4. What does your child do well?

5. Does your child have many close friends? Y/N/don’t know
What ethnicity are his/her friends?

Has your child been bullied at school? Y/N/don’t know
Does your child enjoy school most of the time? Y/N/don’t know

6. Did the school ever contact you when your child did something good? *(what about)*

Y/N

7. Are there any circumstances outside the school which affect your child and make for difficulties in school?

.....

8. Are there circumstances inside the school which present difficulties for your child - anything to do with curriculum/relationships?

SECTION 2 - SCHOOL ACTION

9. Did your child ever get any extra support in class? Y/N
 From whom? (*details – gender, ethn. – attached list A*)
10. Did your child ever have counselling/mentoring? Y/N/Don't know
 (*in school/out of school*)
 If no – do you think it would have helped ? Y/N/Don't know
11. Does your child have a Pastoral Support Plan? Y/N
 Did you go to the planning meeting? Y/N
 If no, were you invited? Y/N
 Could you bring someone with you? Y/N
 If 'Yes' Friend/someone from a Support group
 (*details*)

SECTION 3 - EXCLUSION DETAILS

12. How many times has your child been excluded from school? Fixed term
 Permanent
- Can you give me the reasons?
12. How many days was your child excluded from school last year?
13. At what stage in the development of problems did the school get in touch with you?
 Early/Middle/Late
15. How did the school get in touch with you? Letter/phone both
 Who got in touch with you? HT/DHT/HofY/CT/other

16. What sort of things did your child do to get into trouble last year?
 (*ask the reason for each of the exclusions*)

17. What was your experience of the exclusion process?
 (*meetings, process, support given etc*)

18. Instead of being sent home from school was your child ever kept in school after an incident? (*in an inclusion room or unit/LSU*) Y/N

19. Has your child ever been sent to an off site unit instead of an exclusion?
 (*PRU, FE college, other*)

20. Has your child had part time schooling? Dual registration
PRU/College placement
Other (describe)

21. What do you think has been effective in helping your child?
.....

22. Do you know if your child was involved in any special project? (*BIP, EIC, EAZ etc*) Y/N
If yes, which project is it?

23. What support have you and/or child been offered by the school or local community? (*agencies involved with child – see list B*)
.....

24. Did you know of any services or people that could help you? (*in relation to your child's difficulties*) Y/N
If yes, who?
Did you contact them? Y/N

What happened?

25. What has been the effect of exclusion on your child?
.....
What has been the effect of the exclusion on you and your family?
.....

SECTION 5 - PERCEPTIONS OF SCHOOL

26. What is your perception of the school's overall approach to behaviour?
.....

27. What is your perception of the level of behaviour problems at the school in general?
.....

28. What do think of relationships between teachers and pupils in the school?
Good/Fair/Poor
Explain

29. What do you think of relationships are between the school and parents?
Good/Fair/Poor
Explain

30. Is there anything else you would like to say?

Thank you for your help and for giving us your time

- 3) How is the LEA actively supporting schools in their race equality work, particularly in relation to the RRAA?
 - i. What is the LEA doing to disseminate good practice in achieving race equality in schools?
 - ii. How is the LEA helping to develop positive links between schools and local communities?
 - iii. What more could the LEA do?

- 4) We know the rates of permanent exclusion from schools in the LEA and the trend over recent years:

<i>(Researcher will fill in these figures)</i>	
Permanent exclusion rates:	2000/2001 _____
	2001/2002 _____
	2002/2003 _____

- i. What is your perception of discipline and behaviour in schools in this LEA?
 - ii. What are schools and the LEA doing to reduce exclusions, both permanent and fixed term?
 - iii. What more could they do?
- 5) What, in your view, are successful strategies to reduce exclusion?
- 6) Are there specific ways of reducing exclusions that apply particularly to minority ethnic groups?
- 7) What is your view on the LEA's and LEA school's record on minority ethnic exclusions?
- 8) Please describe a particular case of exclusion of a minority ethnic young person which you believe illustrates how well or badly these issues have been dealt with
- 9) Is there anything else you would like to add about the implementation of the RRAA in so far as it relates to minority ethnic exclusions?

Appendix A 11. Process for selection of exclusion cases

RESEARCH STUDY: MINORITY ETHNIC EXCLUSIONS PROJECT AND THE RACE RELATIONS (AMENDMENT) ACT 2000

Selecting the Sample Cases of Excluded pupils 2001/2002 - Secondary Schools

During the visit to the school, one task is to record the exclusion history and the provision made for ten pupils who were excluded, either permanently or for a fixed period, during 2001-02.

In order that this is done to provide a representative picture across each individual school, and thus across the 50 Secondary schools we visit, we would like you to generate two lists of excluded pupils. The first list is of minority ethnic pupils, firstly the permanent exclusions in birth date order followed by the fixed term exclusions in birth date order. The second list is for white pupils. We would like six cases from the first list and four from the latter.

The principle for selecting the cases is to start at the second one, then take cases at regular intervals, depending on the length of the list – for example if the ethnic minority list had thirty-two in it, then you would take every sixth one starting at the second in order to obtain the six from that list.

We have suggested that certain parts of the form could be completed very effectively by an administrator, these are marked with an asterisk.

We do not need the names of pupils. We will identify the pupil by a code identifier.

Thank you for your help.

Contact details:

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**RESEARCH STUDY:
MINORITY ETHNIC EXCLUSIONS PROJECT AND
THE RACE RELATIONS (AMENDMENT) ACT 2000**

Selecting the Sample Cases of Excluded pupils 2001/2002 – Primary Schools and PRUs

During the visit to the school, one task is to record the exclusion history and the provision made for five pupils who were excluded, either permanently or for a fixed period, during 2001-02.

In order that this is done to provide a representative picture across each individual school, and thus across all the schools we visit, we would like you to generate two lists of excluded pupils. The first list is of minority ethnic pupils, firstly the permanent exclusions in birth date order followed by the fixed term exclusions in birth date order. The second list is for white pupils. We would ideally like three cases from the first list and two from the latter.

The principle for selecting the cases is to start at the second one, then take cases at regular intervals, depending on the length of the list – for example if the ethnic minority list had fourteen in it, then you would take every sixth one starting at the second in order to obtain the three from that list.

We have suggested that certain parts of the form could be completed very effectively by an administrator, these are marked with an asterisk.

We do not need the names of pupils. We will identify the pupil by a code identifier.

Thank you for your help.

Contact details:

Vanessa Wennerstrom	Email:	vjw7@cant.ac.uk
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APPENDIX B: Selection of Visit Sample

Introduction

The ultimate selection of twelve LEAs (four contributing 8 secondary schools, one 7, one 3 and four 2), completed by trying to achieve regional coverage and a reasonable representation of Black and Pakistani pupils, is shown in Table B1. They included four London Boroughs, three Metropolitan Boroughs, two Unitary Authorities and three Counties. Two were in the North West, one in Yorkshire, one in the West Midlands, two in the East Midlands, two in the East of England and four in London. LEAs in the North East and South West contained few schools with characteristics relevant to this study. The 50 schools selected within these 12 LEAs constituted the visit sample (Sample C).

Five LEAs were selected for having large proportions of ethnic minority pupils and high previous permanent exclusion rates. This made it possible to find schools within those LEAs that had a combination of sufficiently high numbers of Black or Asian pupils and sufficiently high numbers of previous permanent exclusions to make it likely that, if all ethnic groups were equally affected, there would be at least one ethnic minority permanent exclusion. The LEAs best fitting these criteria were in London, but preference was given to some LEAs in other regions that were almost as promising.

Within these LEAs the pattern of minority ethnic representation and the pattern of permanent exclusions varied greatly. Eight schools were chosen to represent the spread found in each LEA, omitting schools with very few ethnic minority pupils and very few or no permanent exclusions. Some schools will have been omitted because they had failed to record ethnicity data. One LEA which has in the past been known for its ethnic minority population had so few schools returning ethnicity data that it could not be included in the five selected.

Table B1: Intended and achieved visit sample – secondary schools

	INTENDED SAMPLE		ACHIEVED SAMPLE	
	All sample authority secondary schools	Sample secondary schools	All sample authority secondary schools	Sample secondary schools
Schools	406	50	441	50
CTC	3	1	5	2
Grammar	13	0	13	
Modern	3	0	3	
13 plus	18	0	18	
Schools with Boys > 95%	4.4%	12%	5.2%	12%
Schools with Girls > 95%	6.7%	10%	7.7%	10%
Mean Ward MDI**	30.5	39.1	30.0	34.0
Mean Area MDI**	31.5	36.9	30.7	33.7
Pupils (thousands)	372	47	403	47
FSM eligible (thousands)	78	16	85	14
Non-statemented SEN (thousands)	54	9	69	9
Statemented SEN (thousands)	7	1	7	1
Permanently Excluded	977	304	1154	321
Black Caribbean	9733	3993	13228	4226
Black African	4293	2060	6926	2352
Black other	4541	2633	7440.	3077
Indian	10186	1961	11344	2217
Pakistani	28648	7048	29181	3706
Bangladeshi	4468	1180	4683	645

** The higher the figure, the greater the disadvantage.

Compared with a 2000/1 permanent exclusion rate for White pupils of 0.13 percent, Black Caribbean pupils had a rate of 0.38 percent, Black African 0.18 percent and Black Other 0.40 percent. All other ethnic groups had a lower rate than that for White pupils. However, to investigate the interaction between ethnicity and exclusion it is important to look beyond White and Black pupils. Pakistani and Bangladeshi pupils had rates that, although considerably lower

than that for White pupils, were higher than other groups. The primary aim of the sample selection was to get a good representation of all three Black ethnic groups, but a reasonable number of schools with fairly large proportions of Pakistani pupils was also sought.

Five further LEAs were selected from those not meeting the two selection criteria, but having some schools with high exclusions and high minority ethnic representation. From each of these LEAs two secondary schools were selected, making a total of 50 secondary schools.

Two primary schools with high minority ethnic representation and some permanent exclusions were selected in each of the 10 LEAs, using similar criteria, making a total of 20 primary schools. Ten special schools and four PRUs were selected on an ad hoc basis from within the sampled LEAs once contact had been made.

Table B1 gives some indication of the representativeness of the sample secondary schools within the sample LEAs. No attempt is made to compare the sample with an overall national picture, since there are large parts of the country to which the problem of minority ethnic exclusions hardly relevant. The sample includes about one school in eight and under-represents selective schools, modern schools and upper schools. It over-represents single sex schools. The schools are located in slightly more deprived areas than the average. It over-represents pupils eligible for Free School Meals and all Black and Asian ethnic groups. The lower scores in the achieved sample for the Multiple Deprivation Index and for the Free School Meals eligibility measures suggest that they were marginally less disadvantaged. This would accord with the view gained from telephoning the schools, that those in the most challenging circumstances were more inclined to reject involvement with the project.

In the event, it was difficult to persuade schools to take part in this study and the additional sample within the selected LEAs, together with schools from two London Boroughs from the additional LEAs were used in order to achieve the required number of visits.

For the analysis of PLASC data, the sample in each of the LEAs was doubled, selecting schools by similar criteria. The entire sample was matched in a further selection of 10 LEAs, giving a total of 198 secondary schools and 40 primary schools. This was sample B.

The study, therefore, analyses data from three samples:

- Sample A: all primary and secondary schools in England (including Special Schools) with school-level data;
- Sample B: 238 schools from about 20 LEAs with individual-level data from PLASC;
- Sample C: 50 secondary schools, 20 primary schools, plus special schools and PRUs from 12 LEAs, using interview and documentary data.

What counts as a school with a large number of minority ethnic pupils?

After examining those secondary schools which gave ethnicity data, it seemed sensible to take 21-50 to be a ‘small’ number of minority ethnic pupils for one school, 51-150 to be a ‘moderate’ number and 151+ to be a ‘large number’. For permanent exclusions 1-5 was taken as a ‘small’ number, 6 – 11 a ‘moderate’ number and 12+ a ‘large’ number. Using these definitions and considering only those maintained secondary schools using the old ethnic codes, the numbers of schools with small, moderate and large numbers of key minority ethnic pupils and of permanent exclusions were as shown in Table B2.

Table B2: Maintained Secondary Schools with Small, Moderate and Large Numbers of Minority Ethnic Pupils or of Permanent Exclusions

	Schools with small numbers	Schools with moderate numbers	Schools with large numbers
Minority Ethnic Pupils			
Black Caribbean	245	203	50
Black African	131	168	63
Black Other	222	111	9
Pakistani	214	211	135
Permanent Exclusions	1903	275	46

How was the sample selected?

For each LEA the numbers of schools with small, moderate and large numbers of permanent exclusions or of Black Caribbean, Black African, Black Other or Pakistani pupils were listed. From this listing, LEAs were scored under each category with 2 points either for two schools with large numbers or for six schools with moderate or large numbers. 1 point was awarded for five schools with moderate or large numbers. The aim was to select LEAs with a score of 2 under a number of categories (including exclusions) and thus be able to select from within them an adequate number of schools in which there was a good chance of finding not just permanently excluded minority ethnic pupils, but also pupils excluded for fixed periods. The eleven LEAs scoring 2 for permanent exclusions are those listed in Table B3. LEAs **a** to **e** are the most suitable and of these three are in London. In the interests of geographical coverage, **b** was omitted from

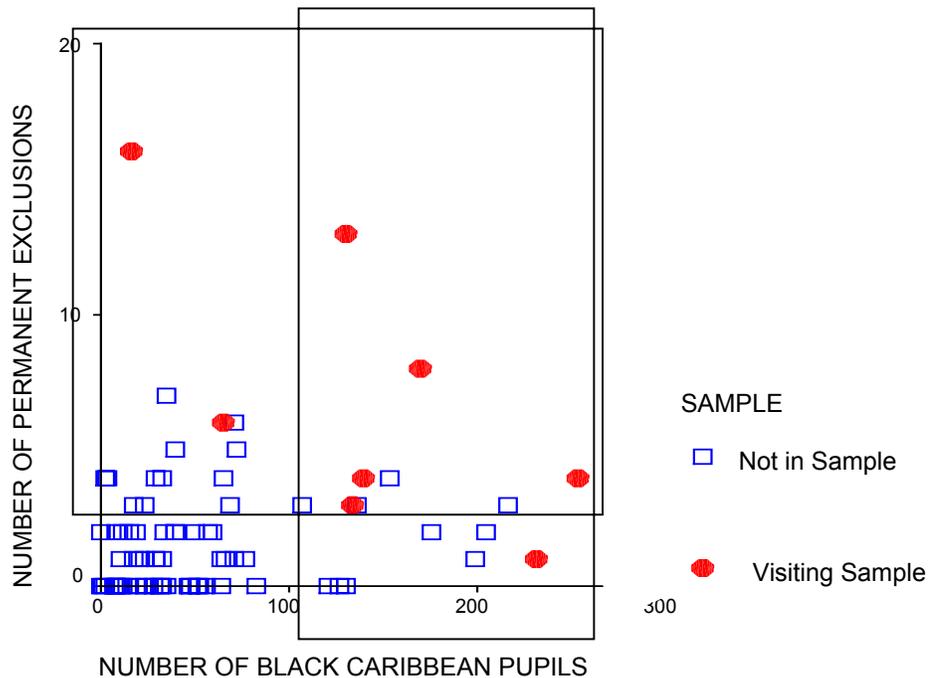
the sample. The remaining six LEAs were chosen by examining graphs of the distribution of minority ethnic pupils and of permanent exclusions in the schools of each LEA.

Table B3: LEA Scores for Schools with Numerous Minority Ethnic Pupils or Permanent Exclusions

LEA	PERMANENT EXCLUSIONS	BLACK PUPILS			PAKISTANI PUPILS
		CARIBBEAN	AFRICAN	OTHERS	
a	2	2	2	2	2
b	2	2	2		
c	2	2	2	2	
d	2	2		2	2
e	2	1		1	2
f	2				
g	2				2
h	2				
i	2				
j	2				
k	2				

Figure B1 shows the numbers of Black Caribbean pupils (in 2002) and permanent exclusions (in 2000-2001) for each secondary school in one selected LEA. The full circles represent schools that were selected for visiting and the empty squares schools that were not selected.

Figure B1: Sample selection from one LEA showing number of permanent exclusions against number of Black Caribbean pupils



The rectangle covering the top part of the graph includes all schools with high numbers of permanent exclusions and the rectangle covering the right hand side of the graph shows all school with high numbers of Black Caribbean pupils. From this it is possible to identify a group of schools that, for this particular LEA, represent the range of different situations in respect of Black Caribbean pupils and permanent exclusions. Only schools with few (or a low proportion of) Black Caribbean pupils and also few (or a low rate of) permanent exclusions were omitted completely. On the graphs actually used, schools were also identified by a code number. It was therefore possible to compare the positions of the same school on different graphs dealing with different minority ethnic groups and with proportions as well as numbers and to select a sample that reasonable representative in as many respects as possible. Table B4 sets out the numbers of secondary schools in the achieved sample.

Table B4: LEAs Included in the Sample

LEA	TYPE	REGION	Number of Secondary Schools in the Sample
A	London Borough	London	6
B	London Borough	London	8
C	Metropolitan Borough	North West	4
D	Unitary Authority	East Midlands	6
E	Metropolitan Borough	West Midlands	8
F	Metropolitan Borough	Yorkshire	2
G	Unitary Authority	East of England	2
H	County	East of England	1
I	County	East Midlands	2
J	County	North West	2
K	London Borough	London	6
L	London Borough	London	3

Note: Each LEA contributed 2 primary schools.

Primary schools have fewer pupils and far fewer exclusions. After the secondary schools had been selected, there was generally little choice when looking for two suitable primary schools from the each of the same LEAs.

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