School exclusion trial evaluation

Research report

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The Institute of Education (IoE) and the National Foundation for Educational Research (NFER)

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Overview

The School Exclusion Trial (SET) tests the benefits of schools having greater responsibility for meeting the needs of permanently excluded pupils and those at risk of permanent exclusion. This includes schools having more responsibility for commissioning Alternative Provision (AP), and local authorities (LAs) passing on funding to schools for this purpose.

The trial started in autumn 2011 (with changes being implemented at different times since then) and runs to August 2014. It involves volunteer schools drawn from 11 LAs.

The trial is taking place in the context of a range of educational reforms that have impacted on trial schools and those outside of the trial, such as new Ofsted inspection arrangements, reforms to school performance measures and changes to AP governance and funding.

The evaluation assessed the issues emerging from the implementation of the trial and the impact it has had on pupils, schools, LAs and AP providers.

Taken together these reforms have changed the way that schools approach the education of all pupils and particularly those at risk of exclusion. In terms of the evaluation, both trial and comparison schools have responded to these reforms. This has meant that the differences which might have been expected between them have not always been in evidence.

Key findings

LAs took a range of approaches when implementing the trial. In one LA, the legal duty to arrange suitable education for permanently excluded pupils was temporarily transferred to schools through a Power to Innovate (PTI). The remaining ten LAs implemented their approaches under the existing legislative framework.

Participating schools and LAs had different conceptions of what it meant for schools to take increased responsibility for permanently excluded pupils and those at risk of permanent exclusion.

Overwhelmingly the evidence suggested that trial schools were taking increased responsibility for pupils at risk of exclusion. Trial LAs reported that school staff were at least partly responsible for making AP arrangements. This was not the case in comparison LAs.

Trial schools were more likely than comparison schools to have funding devolved to them, be involved in commissioning AP and monitoring the outcomes of AP.

Changes resulting from the trial included the increased use of partnership working and collective decision making through the use of panels, e.g. district panels, fair access panels; enhanced quality assurance (QA), accreditation systems and service level agreements for AP providers; increased collaboration between schools, e.g. pupils transferred to another school for a trial period; an increase in managed moves; revised commissioning procedures; more early intervention programmes to prevent exclusion; the use of time-limited AP (to avoid permanent exclusion); and the closure of pupil referral units (PRUs).

LA leads and lead teachers agreed that partnership working, particularly as it related to managed moves, had increased as a result of the trial, processes were more transparent and rigorous, and information about pupils and tracking of progress were improved.

Schools were making more effective use of data to identify patterns of behaviour in order to put in place appropriate support for pupils.

Learning support units, inclusion coordinators, and revised school timetables were considered effective in relation to preventing exclusions, improving attendance, improving attainment and improving behaviour.

There was a change in the pupils designated as at risk during the trial. Schools' judgements of pupils at risk of exclusion were reviewed regularly and adjusted and the provision to support many of these pupils was effective insofar as they were removed from the at risk list.

Teachers reported that fewer children on average had been permanently excluded from trial schools than comparison schools.

There was no identified difference in attainment between trial and comparison schools. It may be too soon for this to have occurred, or it may be a reflection of changes in approach adopted by both trial and comparison schools in response to wider educational reforms. In many trial schools there had been an increased focus on GCSE attainment, particularly in English and maths, for those in PRUs and AP.

1.1 Background

In recent years there has been increasing concern about the variable effectiveness of Alternative Provision (AP) in providing suitable education for excluded pupils, the low levels of attainment of pupils in AP and the level of accountability in relation to AP (Ofsted, 2011; Taylor, 2012; DfE, 2014b). A raft of measures has been put in place to address these issues including the opportunity for setting up AP academies and free schools and an increasing focus in Ofsted inspections on the behaviour, attainment and safety of pupils in AP. Other significant reforms relating to raising standards of behaviour and attainment in schools have also been implemented including more rigorous inspection criteria and changes to GCSE and vocational qualifications. These reforms can be expected to impact on all schools nationally.

Currently, if a pupil is permanently excluded from school, local authorities (LAs) are responsible for arranging suitable education for such pupils (DfE, 2012). Increasingly, LAs are delegating some responsibilities for excluded pupils to schools and it is within this context that the School Exclusion Trial was implemented.

The School Exclusion Trial is a pilot programme implementing the proposals set out in the White Paper *The Importance of Teaching* (DfE, 2010). The paper reiterated the authority of headteachers to exclude pupils when there is no other option, but proposed that this should be balanced by giving schools responsibility for the quality of the education that those pupils received and the attainment levels that they achieved. The trial gave schools the opportunity to find and fund AP for permanently excluded pupils and those at risk of permanent exclusion and explored the impact of these changes.

The trial started in autumn 2011, with LAs and schools rolling out the changes in processes and financial responsibility for AP from this date until April 2013. This is the final evaluation report and presents the outcomes of the trial.

1.2 Aims/objectives

The main aims of the evaluation of the School Exclusion Trial (SET) were to:

- assess the impact on schools, pupils (including those most vulnerable to exclusion) and LAs of devolving the responsibility for AP for excluded pupils to schools;
- assess whether the trial had increased the use of early intervention and family support and whether this had had any impact on pupil outcomes for those at risk of permanent exclusion;
- identify the lessons for any future implementation of the approach; and
- assess the cost-effectiveness of the new approach and the impact on the AP market.

1.3   Methods

1.3.1 Overall design

A mixed methods (quantitative and qualitative) longitudinal (over two years 2012–2013) and comparative (trial and comparison schools) design was adopted for the research.

1.3.2 Instruments and their use

A pupil profile form (PPF) was used to collect information about pupils at risk of permanent exclusion in trial and comparison schools and the interventions adopted to support them. This was completed by schools throughout the summer and autumn of 2012 and followed up in 2013. It enabled identified 'at risk' pupils to be followed up throughout the course of the trial.

The National Pupil Database (NPD) was used to:

- model the national profile of permanently excluded pupils;
- enable a comparison of the characteristics of the pupils at risk of permanent exclusion in trial and comparison schools and the national profile; and
- provide additional information about pupils designated as at risk of permanent exclusion by trial and comparison schools.

Questionnaires for lead teachers in trial and comparison schools reflected the position in schools as a whole and were used to establish:

- levels of permanent exclusion;
- availability and perceived effectiveness of in-school provision to support pupils at risk of permanent exclusion;
- availability and perceived effectiveness of AP for such pupils;
- processes for commissioning and monitoring AP;
- strengths and issues relating to these processes; and
- financial information relating to in-school and AP resourcing.

Lead teachers in trial schools were also asked about changes occurring as a result of the trial.

Questionnaires were developed for lead staff in trial LAs to establish the provision for pupils at risk of permanent exclusion, changes resulting from the trial and financial information.

In the final data collection a subject teacher questionnaire was developed to explore any possible impact on the whole-school climate.

1.3.3 Qualitative data

Telephone interviews were undertaken with lead staff in trial LAs to follow up questionnaire responses in more depth.

Seven case-study visits were undertaken, three in the first year of the trial and four in the second year. Semi-structured interview schedules were developed for use with a range of school staff including members of the Senior Management Team, Special Educational Needs Coordinators and support staff. Interviews were also undertaken with managers of AP, and pupils and parents/carers. The interviews were designed to gain deeper insights into current practices, changes underway and the experiences of pupils and parents/carers.

Questionnaires with open questions paralleling the interviews were sent to staff in the LAs involved in face-to-face fieldwork visits during the years when they were not visited.

1.3.4 The sample

Eleven LAs in total participated in the trial. Table 1 sets out the return rates for each of the instruments.

Table 1 Participants in final data collection (2013)

	Schools in sample	Lead teacher questionnaire	Subject teacher questionnaire	Pupil profile form (PPF)	Pupils listed on PPF
Trial sample	88	63	267	47	677
Comparison sample	47	29	138	21	308

These numbers are small, and findings based on the teacher surveys or on pupil data collected directly from schools should be interpreted with caution. They are unlikely to be nationally representative or to give a reliable measure of impacts.

Telephone interviews were undertaken with LA officials from all LAs involved in the trial in phase 1 and the final phase of the research.

Seven LAs participated in the fieldwork. Three were visited during the 2011–12 academic year, and four in 2012–13. In the years when they were not visited questionnaires were completed. Across the two years of the research 56 school staff were interviewed face to face, 12 parents/carers, 35 pupils, 20 AP providers and five LA staff. Visits were made to a total of 20 schools.

1.4   The findings

1.4.1 Implementation of the trial: the local authority perspective

LAs, who were all volunteers, joined the trial for a variety of reasons. For example, some LAs were keen to be a part of shaping future policy; some wanted to try a different approach to address particular local issues; and some joined because they felt that the approach they were already adopting reflected the principles of the trial. As a result, some change was already underway prior to the start of the trial.

Approaches to implementation differed between authorities. Only one LA adopted the Power to Innovate as a means of transferring the LA's legal duty to arrange suitable education for permanently excluded pupils to schools. The remaining ten LAs implemented the trial under the current legislative framework.

The concept of greater school responsibility was interpreted in a variety of ways. For example, in some trial areas it meant schools taking a range of actions to avoid the use of permanent exclusion (with the LA playing more of a role once a permanent exclusion was deemed necessary), while for others, school responsibility extended to pupils who were permanently excluded.

There were differences in the perceptions of schools and LAs in relation to the extent to which schools had taken responsibility for permanently excluded pupils. This may have been because LAs and schools had different conceptions of what it meant to be responsible, for instance, legal, financial, practical or moral responsibility.

A range of funding approaches were adopted in trial LAs. For example, some LAs had put in place shadow budgets so that schools could have some measure of control over their AP funds, whilst some others assigned each school with a set number of AP places.

There was considerable variation in the AP practices of schools as reported by LAs. Trial schools were more likely than comparison schools to have funding devolved to them, be involved in commissioning AP and monitoring the outcomes of AP. Being part of the trial had made a difference to the prevalence of these practices but all were already in place in some LAs prior to the trial. Changes resulting from the trial that were particularly highlighted by LAs included increased use of partnership working and collective decision making through the use of panels particularly in relation to managed moves, e.g. district panels, fair access panels; enhanced quality assurance (QA), accreditation systems and service level agreements for AP providers; increased collaboration between schools, e.g. pupil transferred to another school for a trial period; more managed moves; revised commissioning procedures; an increase in early intervention programmes to prevent exclusions; time-limited AP (to avoid permanent exclusion); and the closure of pupil referral units (PRUs).

Most LAs had retained PRUs but frequently with new roles, for instance, commissioning or quality assurance of AP.

Pupil placement panels were in place in several LAs. Their work had become more transparent and rigorous since the implementation of the trial. In many instances, partnerships used managed moves successfully. The regularity of partnership meetings and the transparency of processes contributed to the success of managed moves.

LA leads and lead teachers commented that partnership working had increased and that processes had been made more rigorous. Information about pupils was improved and better tracking of progress was in place.

The overriding theme which emerged from the LA interviews and case-study visits was that trial schools were taking an increased responsibility for pupils at risk of exclusion, which in turn meant that they were working to place young people in the most appropriate provision.

1.4.2 Implementation of the trial: the school perspective

More trial schools than comparison schools had retained responsibility for excluded children, although, overall, the percentage of trial schools that reported having continuing responsibility for the educational provision of permanently excluded pupils was very low. This may have been in part because some were committed to avoiding permanently excluding any pupils.

Fewer children on average were reported by lead teachers to have been permanently excluded from trial schools than comparison schools.

The majority of lead teachers reported that their schools had not made changes to exclusions policies as a result of the trial, although some changes had occurred in relation to practice in terms of early intervention/behavioural support in schools, use of AP and working with other schools.

Schools' judgements of pupils at risk of exclusion were reviewed regularly and often adjusted, with pupils quite likely to be removed from, or added to, the list from one year to the next. This suggests that the provision for pupils deemed at risk of permanent exclusion is frequently effective, to the extent that they can be removed from the at risk category.

Overwhelmingly, trial schools were taking an increased moral and practical responsibility for pupils at risk of exclusion which in turn meant that they were working to place young people in the most appropriate provision.

1.4.3 Implementation of the trial: in-school provision for pupils

Schools were doing a great deal to identify and support pupils at risk of exclusion. On average, schools had 15 in-school interventions in place. There were no statistically significant differences between trial and comparison schools in the academic year 2012–13 in relation to which in-school interventions were adopted.

The use of inclusion/learning support units increased in all schools during the trial, while the use of 'time out' provision decreased. Involvement in the trial per se did not seem to have an impact on the type of provision in place at school level – provision changed in comparison schools too.

In trial schools, at risk pupils were likely to be in receipt of school–home liaison, behaviour management, behaviour support and a revised timetable. Support via a learning support unit (LSU) was adopted less in comparison schools than in trial schools.

Learning support units, inclusion coordinators, and revised school timetables were considered effective in relation to preventing exclusions, improving attendance, improving attainment and improving behaviour in trial and comparison schools. Comparison teachers were less positive about the effectiveness of LSUs for reducing exclusions or improving behaviour. They were more positive about the impact of time-out provision for enhancing attainment or behaviour. The interventions which were in place were not always those which were evaluated more positively by schools.

1.4.4 Implementation of the trial: Alternative Provision for pupils

The percentage of trial schools sending pupils to spend time in another school was statistically significantly higher than that of comparison schools, as was the percentage of trial schools using additional services provided by the LA, such as a traveller education support service or a Looked-After Children (LAC) team. Specialist support, for instance, Child and Adolescent Mental Health Services (CAMHS) and PRUs, remained the most common type of AP in place in both groups of schools.

Training providers, private sector organisations and work placements were all seen as effective in preventing exclusions and improving attendance. In addition, PRUs were considered effective in improving behaviour and attainment, while time spent in a further education (FE) college was also seen as improving attainment. Trial schools were more positive about the effectiveness of PRUs for improving attainment than comparison schools.

The number of pupils subject to managed moves was small but trial schools accepted a statistically significantly higher proportion of pupils and had statistically significantly fewer pupils under consideration for moving out, than comparison schools.

There was increased transparency and more rigorous processes were in place relating to the use of managed moves in trial schools.

Schools in trial LAs were making effective use of data to identify patterns of behaviour in order to put in place support packages for young people.

Lead teachers in trial and comparison schools reported an increase in involvement in making arrangements for excluded pupils through managed moves or commissioning AP during the trial. A range of people were involved in making these arrangements.

LA leads and lead teachers in trial schools commented that partnership working had increased and processes had been made more rigorous, there was greater information about pupils and there were better tracking processes in place.

Lead teachers commented that the strengths of their AP arrangements depended on collaboration (good relationships with the LA, other schools and providers) and the process (its efficiency and rigour, quality assurance, and involvement of pupils and parents/carers).

Lead teachers perceived weaknesses relating to AP as processes (time, logistics, timetabling, costs); the provision (quality control, monitoring); and a lack of pupil or parent/carer engagement.

Trial and comparison LAs used site visits and written and verbal communication to monitor AP. Trial LAs were more likely than comparison areas to use feedback from parents/carers and pupils and monitor available LA or school databases.

LAs perceived that the strengths of monitoring included process (effective data sharing and tracking); collaboration (good communication with providers); and positive impact (helping to identify pupils' problems early and helping with reintegration). The most common issues mentioned by LAs were that monitoring was not sufficiently consistent and robust and that schools should be more involved and engaged.

1.4.5 Characteristics of the pupil sample

Statistical modelling (based on data collected in administrative datasets and available just one year after the start of the trial) revealed that there was *not* a statistically significant difference between trial and comparison pupils at risk of permanent exclusion in relation to permanent exclusion, attendance, behaviour or attainment. It may be that it is too early to be able to detect an impact of the trial on such outcomes. There were also no statistically significant differences specifically related to being identified on the pupil profile form by the school.

There was a change in the pupils designated as at risk during the trial. Only 309 pupils of the original 985 (across both trial and comparison schools) were listed as at risk on both data collection occasions. The evidence suggested that the interventions had been successful in improving pupils' behaviour in terms of their designation as being at risk.

At risk pupils were much more likely to be boys, were unlikely to have achieved National Curriculum level 4 at the end of primary school, and had a relatively high likelihood of being eligible for free school meals (FSM). A high proportion had an identified special educational need (SEN) usually met through School Action or School Action Plus; only a small proportion had statements. A smaller proportion of pupils deemed at risk in the second data collection had SEN than those already on the list, in both trial and comparison schools.

Across trial schools there was limited evidence of a relationship between permanent exclusion and particular groups of young people.

The reasons given for pupils being designated as at risk related to factors within (poor behaviour) and outside school. Trial schools were significantly more likely to identify the home situation as a reason for concern than comparison schools.

Findings from the case studies and interviews indicated that trial schools were aware of how essential parental/carer engagement was in relation to supporting at risk pupils.

1.4.6 Pupils' outcomes

Multilevel modelling exploring the impact of the trial on attainment (key stage 3 average point score; key stage 4 total point score; and number of Level 1 and 2 GCSE passes), fixed-period exclusions[1] (number and length) and attendance (persistent absence and number of unauthorised absences) of pupils revealed no statistically significant differences between trial and comparison pupils who were identified through modelling to be at risk of permanent exclusion over the period of the trial evaluation. There were also no statistically significant differences specifically related to being identified as at risk by trial and comparison schools. The lack of differences may be due to the relatively short period of time that the trial had been in place or the other educational reforms impacting on both trial and comparison schools.

The interview data suggested that the overall outcomes for young people at risk of exclusion were improving. Strong systems were in place to monitor attendance, attainment and behaviour and tracking systems were also in place to monitor the destinations of young people after leaving school, AP and/or PRU provision. There was also evidence that AP was keeping young people engaged with education who otherwise might have become 'not in employment, education or training' (NEET).

In many trial schools there had been an increased focus on GCSE attainment, particularly in English and maths, for those in PRUs and AP. Within the trial LAs the PRUs were taking an increased responsibility to deliver GCSEs.

Schools and PRUs were seeking a balance between helping young people to achieve GCSEs in core subjects and in providing a wider curriculum offer that would engage them with education.

Changes in the criteria for the formulation of performance tables and 'accepted qualifications' over the period of the SET appeared to have had an impact on the qualifications that young people were offered. It also seemed to have made schools and LAs pay more attention to the value of the qualifications that young people achieved.

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[1] Numbers of permanently excluded pupils were too small to model.

1.4.7 Initial impacts at school level

Ninety-eight per cent of responding subject teachers had a positive view of their pupils' engagement during their own lessons and over 80 per cent viewed their school's approach to managing disruptive behaviour as at least 'quite effective'. There were no statistically significant differences in this regard between trial and comparison schools. Around a half of teachers reported an improvement in the effectiveness of their school's approach to managing disruptive behaviour and in the extent of the school's intervention work for behaviour or engagement.

Overall, the findings from the subject teachers across trial and comparison schools indicated that the management of pupils at risk of exclusion was generally effective and improving.

Multilevel modelling was undertaken to explore whether there had been an overall beneficial or detrimental effect on schools of being involved in the trial in relation to attainment, fixed-period exclusions and attendance. There was no statistically significant difference in any of the outcomes for trial and comparison schools. It may be too soon to identify the impact of the changes implemented by trial schools or the impact of reforms impacting on both trial and comparison schools.

1.4.8 Value for money

During the period of the trial, a higher percentage of trial schools had dedicated budgets for in-school interventions and AP. The proportions of all schools having dedicated budgets increased over the course of the trial, with a greater increase in trial schools.

In the trial schools, the budgets for in-school provision and AP reduced slightly over the course of the trial, while in comparison schools, the budget for in-school provision increased while that for AP decreased. These differences were not statistically significant. The budgets for both in-school provision and AP remained higher in trial schools. However, the difference was only statistically significant for AP.

The comparison schools had higher staffing levels for in-school support, allocated more hours and had a greater number of pupils receiving support than the trial schools. Comparison schools were clearly investing in a range of in-school support.

1.5 Conclusions

At the time of the trial a great many educational reforms relating to behaviour, AP and attainment were taking place. These impacted on trial and comparison schools alike. The lack of differences between trial and comparison schools in many of the aspects explored in the research was almost certainly as a result of all schools responding to these changes.

The findings demonstrated that both trial and comparison schools had been engaged in enhancing their in-school provision for pupils at risk of permanent exclusion. Schools were clearly making great efforts to support these at risk pupils and had implemented a wide range of different interventions in school.

Trial schools were taking increased responsibility for pupils at risk of exclusion, which, in turn, meant that they were working to place young people in the most appropriate provision. They were involved in commissioning AP and monitoring its outcomes and there was evidence of increased partnership working, enhanced robustness of processes and greater use of data.

Over the course of the evaluation there was change in the pupils designated as at risk with many of the pupils initially designated at risk no longer considered so. This suggests that the changes in processes and the interventions adopted by schools were having a positive impact on at risk pupils.

Schools were increasingly focused on raising attainment, particularly in relation to GCSE outcomes, especially in English and maths, for at risk pupils.

While at this point there were no quantitatively measurable differences in outcomes between trial and comparison schools, the self-reports from trial schools indicated that outcomes were improving. As a result of the trial, teachers reported that fewer pupils on average had been permanently excluded. Trial schools were also taking seriously their obligations to pupils once they had been excluded from school, although their responsibilities tended to be seen in practical and moral terms rather than those relating to financial or legal responsibilities.

2. Introduction, aims and objectives

2.1 Introduction

The School Exclusion Trial (SET) is a pilot programme implementing the proposals set out in the White Paper *The Importance of Teaching* (DfE, 2010). These proposals reiterate the authority of headteachers to permanently exclude pupils when there is no other option but propose that this should be balanced with giving schools responsibility for the quality of the education that those pupils receive and the attainment levels they achieve. The trial also explores the impact of these changes on Alternative Provision (AP).

The SET took place within the context of significant reforms to the education system and AP in particular. This includes changes to school inspection arrangements, performance tables and the introduction of new forms of AP, through AP academies and AP free schools.

This is the final report of the trial evaluation, an interim report having been published in March 2013. This report is based on data collected from schools relating to the academic years 2011–12 and 2012–13.

2.2 Background

Currently, if a pupil is permanently excluded from school, local authorities (LAs) are responsible for arranging suitable education for that pupil. They also have a responsibility to arrange education for other pupils who – because of illness or other reasons – would not receive suitable education without such arrangements being made (DfE, 2012). Increasingly, LAs are delegating some responsibilities for excluded pupils to schools and it is within this context that the School Exclusion Trial was implemented.

The White Paper confirmed headteachers' authority to permanently exclude pupils, while recognising that exclusion should always be a last resort and that good schools would always seek to intervene early with pupils whose behaviour was a problem. It was recognised that the best schools have effective systems in place which mean that they rarely need to permanently exclude any pupil and that promoting good behaviour reduces low-level disruption and allows resources to be focused on those with serious behaviour problems who require additional support.

The proposed new approach to permanent exclusion as outlined in the White Paper balanced headteachers' authority to exclude with the responsibility for ensuring the ongoing quality of education that excluded pupils received and for their achievement. In other words, schools would have ongoing accountability for any pupils who were permanently excluded. This was expected to create a strong incentive for schools to avoid exclusion and ensure that where it occurred it was appropriate and that pupils received appropriate and high quality AP. In Cambridgeshire, where a similar approach

had already been adopted prior to the trial, headteachers had more control over AP and were able to improve in-school interventions to support at risk pupils. Referrals to PRUs fell by up to 60 per cent. Schools predicted how many places they needed in the PRU for the year and bought them in advance. Schools could then use the remaining funding to meet the needs of their pupils. This included the provision of local AP and providing evening tuition for children struggling with a particular subject (Taylor, 2012).

Further context relevant to the trial is provided by the weaknesses in AP identified in the Ofsted report of 2011 and supported by the Taylor review (2012). These reports significantly raised the profile of AP and set out a need for its reform. The Government accepted all of the recommendations made to it by the Taylor review. Changes to the Ofsted framework for school inspection (Ofsted, 2013) have since placed a greater focus on pupils' behaviour in schools and require specific consideration of the behaviour, attainment, learning and safety of pupils in AP.

Changes to the performance measures for schools have been introduced that are also likely to impact upon schools' decisions about AP. These changes have raised the bar in terms of pupils' expected attainment and are intended to influence decisions so that pupils take qualifications deemed to be of high quality and with the greatest value in terms of subsequent education and employment. The percentage of pupils gaining five GCSEs at A* to C now has to include English and mathematics. The English Baccalaureate (EBacc) has been introduced and although it is not compulsory Ofsted take it into account when inspecting a school. The EBacc has a greater focus on academic subjects and to be credited with it pupils have to secure a C grade or above in English, mathematics, history or geography, the sciences and a language (DfE, 2014a). Alongside this the range of vocational qualifications which are officially recognised has been reduced. Taken together these changes have had a considerable impact on all schools changing the way that they approach the education of all pupils and those at risk of permanent exclusion.

The SET and the evaluation of it are tasked with exploring the issues emerging from the implementation of the proposals in the White Paper to give schools responsibility for the education of permanently excluded pupils, and shifting the funding for AP from LAs to schools so that they can purchase for themselves the AP that they think will best meet the needs of disruptive children. This might include collaborating with other schools to provide suitable places, or buying them from the LA, the voluntary sector or local colleges. The purpose of the trial was to work with LAs and headteachers to test the approach, identify issues and barriers, develop solutions and ensure that the incentives work effectively. The research was designed to monitor the changes as LAs gradually handed over responsibility to schools.

2.2.1 The nature of Alternative Provision

A further aim set out in the White Paper was the need to improve the quality of AP by increasing autonomy and encouraging new providers. The children and young people

educated in AP are amongst the most vulnerable in society. Providing AP is complex as those needing it have a diverse range of needs, which may extend beyond behaviour to medical issues (e.g. health problems, school phobia), lack of a school place, or an inability to thrive in a mainstream educational environment. Effective AP must therefore be capable of providing support to pupils facing any or all of these barriers to achieving their full potential (O'Brien *et al.*, 2001). Meeting these diverse needs, AP is varied, ranging on a continuum from informal, individual work experience, through to AP offering a formalised curriculum. In England, AP includes pupil referral units (PRUs); AP academies; AP free schools; hospital teaching services; home tuition services; virtual (or e-) learning centres, and provision commissioned by the LA from further education (FE) colleges, independent schools, training providers, employers, voluntary sector organisations, community services, youth services, youth offending teams and other local agencies (QCA, 2004).

Attainment for pupils collectively in AP, PRUs and hospital schools which includes that for excludees is comparatively poor. In 2012–13, only 1.5 per cent of pupils achieved five or more A* to C grades including English and mathematics (DfE, 2014b). This was one of the justifications for the implementation of the trial and also encouraging schools to put in place a range of early interventions.

The White Paper recognised the issues outlined above and set out a commitment to increase the autonomy, accountability and diversity of AP. PRUs have since been given greater responsibility for decisions on staffing and finance, and changes have been made to require majority representation from mainstream schools in PRU management committees. To raise quality and standards in AP, the Education Act 2011 made it possible for PRUs to apply to become AP academies and other organisations to apply to set up AP free schools. If LAs identify a need for a new school to provide AP, it must be set up as either an AP academy or an AP free school. The Secretary of State also has the power to direct an LA to close a PRU which requires special measures or significant improvement. Alongside this, there have also been changes to the funding arrangements for high needs pupils, intended to balance stability for providers with greater flexibility for schools and LAs to commission AP.

These changes will provide a new route for voluntary and private sector organisations to offer high quality education for disruptive and excluded children. Going forward, LAs and schools are expected to choose the best provision and replace any that is unsatisfactory.

2.2.2 The quality of Alternative Provision

The Ofsted (2011) report on AP in England showed that the quality of the AP studied (61 places) was variable. Some pupils were taught in poor quality accommodation. Schools and units were ill-informed about the need for providers to register with the DfE if they were providing full-time education. There was a lack of clearly defined success criteria at the outset in most cases, and monitoring was weak. The process of finding and commissioning AP varied widely. While the majority of AP placements offered some form

of accreditation, most was offered at Entry Level or Level 1. Information about pupils given to the AP prior to the placement was not always sufficient, particularly in relation to special educational needs (SEN), literacy and numeracy. Although evaluation by schools and units was not always strong, there were examples of pupils who had gone from the AP to education, employment or training. The pupils viewed their placements positively, valued being treated in a more adult manner and identified that motivation was enhanced and that they were now doing better at school.

The Taylor review (2012) of AP confirmed the issues highlighted in the Ofsted survey, indicating that the quality of AP was variable and that the system failed to provide suitable education for pupils and that there was a lack of accountability in relation to outcomes. The report identified the need for improvements in the effectiveness of commissioning and identified the following areas for improvement:

- the planning of individual placements to meet pupils' needs more specifically;
- the assessment of pupils' needs;
- the expectations of academic attainment in English and mathematics on the part of commissioners and providers;
- information sharing between commissioners and providers;
- quality assurance of provision; and
- collaboration between commissioners, providers and other relevant services.

2.2.3 The qualities of effective Alternative Provision

As indicated above, the AP market in the UK is diverse. A review of its effectiveness by Kendall *et al.* (2007) indicated that AP should be regularly monitored and reviewed and that clear systems needed to be in place for referral and information sharing. These systems are enhanced when there is collaborative decision making through multi-agency panels or forums. To support pupils in AP effectively, close links between AP and mainstream schools are crucial and parental/carer involvement is important, although this can be particularly challenging for AP providers. Pupils engaged in AP also need regular access to a range of other services including Connexions, Child and Adolescent Mental Health Services (CAMHS) and counselling support. High quality staffing is crucial to effective provision and an ethos of respect with pupils involved in negotiating the content of their learning.

NFER's research into, and evaluation of, the *Back on Track Alternative Provision Pilots* (White *et al.*, 2012) adds further to this evidence base: findings indicate that AP delivered within a school setting can be highly successful in providing social, emotional, behavioural and academic support to pupils, who can be prevented from disengagement through the provision of early and ongoing support at school, enabling them to succeed in a mainstream environment (White *et al.*, 2012). Related to this is the report *Engaging the Disengaged* (Kettlewell *et al.*, 2012) which found that the support offered in school tended to integrate two or more approaches to preventing disengagement, such as employer involvement, alternative curricula and careers guidance. The pupils identified

as at risk of disengagement were not achieving their potential academically, had mild behavioural issues or a combination of these. Particularly effective in helping them were one-to-one support, personalised and flexible provision, practical or vocational programmes and employer engagement.

An international review of AP (Gutherson *et al.*, 2011) found that effective AP typically demonstrated:

- high standards and expectations that built aspirations;
- small-scale provision with small class sizes and high staff–pupil ratios;
- pupil-centred or personalised programmes that were flexible and customised to individual need;
- high quality 'caring and knowledgeable' staff with opportunities for their professional development and support;
- links to multiple agencies, partners and community organisations and 'a safety net' of pastoral support including counselling and mentoring;
- an expanded, challenging and flexible curriculum related to pupils' interests and capabilities that offered a range of accreditation opportunities;
- expanded curricula that fostered the development of interpersonal and social skills and enabled holistic approaches to be taken;
- family and community involvement;
- the creation and maintenance of intentional communities that paid considerable attention to cultivating a strong sense of connection among pupils and between pupils, families and teachers, including establishing relationships that were based on respect; and
- a healthy physical environment that fostered education, emotional well-being, and a sense of pride and safety.

2.2.4 The costs of Alternative Provision

The costs of AP vary widely. Ofsted (2011) suggested that AP costs between £20 and £123 a day, with the average being £50, equating to approximately £9,500 per annum for a full-time place. Typically, places in PRUs cost more than this. In some cases charitable donations or subsidised rents reduce costs. Clearly, with increasing pressure on budgets schools may have difficult decisions to make in relation to balancing the cost of AP against its quality. Providers themselves prefer arrangements whereby commissioners block buy places for a year or more, so that they can retain good staff and plan for the future (Taylor, 2012). Funding changes in 2013 recognised these needs and replaced block buying with a new system that funds places at PRUs and AP academies (including free schools) for a year at a time at £8,000, with further top-up funding provided by commissioners when they place a pupil with the provider in order to meet the full costs of the provision. Funding arrangements for other independent providers remain unchanged and do allow for block buying, where appropriate.

2.3 Aims and objectives of the evaluation

The main aims of the evaluation were to:

- assess the impact on schools, pupils (including those most vulnerable to exclusion) and LAs of devolving the responsibility for AP for excluded pupils to schools;
- assess whether the trial had increased the use of early intervention and family support and whether this had had any impact on pupil outcomes for those at risk of permanent exclusion;
- identify the lessons for any future implementation of the approach; and
- assess the cost-effectiveness of the new approach and the impact on the AP market.

3. Methodology

3.1 Introduction and overview

This report is the final report of a two-year longitudinal evaluation that commenced in 2012. The methodology for the research was designed to identify any emerging changes over time. The aim was to follow up the same participants, using the same instruments where appropriate. The evaluation had a quasi-experimental design, consisting of a sample of trial schools, together with a comparison sample of similar schools not participating in the trial. This design aimed to identify the impact of participation in the trial, taking account of other known variables, alongside descriptions of the process of implementation. The views of pupils, their parents/carers, teachers, LAs and providers of AP were all of interest, and the data collection included all of these groups of stakeholders. In the final phase of the research, there was also an emphasis on exploring the views of teachers not directly involved in managing exclusions to gauge the wider impact across the school.

3.2 The samples

3.2.1 The initial sample of trial schools

DfE made arrangements for LAs to participate in the trial, with 11 LAs participating. Whilst some participating LAs had begun to implement elements of the trial approach, those that had already clearly established such approaches were deemed unsuitable for inclusion. With this proviso, efforts were made to include a representative set of LAs, although participation was voluntary. It was clear that several trial LAs were already thinking along similar lines prior to the trial, so that the trial approach fitted with their existing future planning. Not all schools in these LAs participated in the trial. The LAs provided lists of schools which were prepared to participate, all of which were invited to take part in the evaluation, but not all of these agreed to be included in the evaluation sample. The timing of initial LA participation varied across the calendar year of 2012 and the sample of schools therefore increased in number during the course of the first year of the evaluation. LAs participating in the trial are listed in Table 2. These include a good spread of regions and LA types, with the exception that none of the London boroughs are involved in the trial. Within these LAs there were 179 schools committed to the local trial approach, although response rates of schools directly surveyed in the evaluation meant that, overall, the responding sample size was small.

Table 2 Trial local authorities and numbers of evaluation schools (2013)

LA	Region	LA type	Number of schools
Hertfordshire	Eastern	Counties	5
Darlington	North East	English Unitary Authorities	7
Hartlepool	North East	English Unitary Authorities	5
Middlesbrough	North East	English Unitary Authorities	1
Redcar & Cleveland	North East	English Unitary Authorities	5
Lancashire	North West/Merseyside	Counties	22
Sefton	North West/Merseyside	Metropolitan Authorities	3
East Sussex	South East	Counties	4
Hampshire	South East	Counties	7
Wiltshire	South West	Counties	17
Leeds	Yorkshire & The Humber	Metropolitan Authorities	12

The number of responses received in phase 1 of the research from the trial and comparison schools is set out in Table 3.

Table 3 Numbers of participating schools for baseline data collection in 2012

LAs in evaluation	LAs in evaluation	Schools in trial	Schools in evaluation	Pupil profile form	Lead teacher questionnaire	LA question -naire
Trial sample	8	144	51	43	49	7
Comparison sample	31	N/A	43	31	42	31

3.2.2 The initial sample of comparison schools

The sample of comparison schools was drawn from those LAs suitable for inclusion. LAs were excluded from the sampling frame if they were: trial LAs; LAs where a similar system of devolution of responsibility to schools was known to be in place; LAs who had already expressed an unwillingness to participate in the trial/evaluation; and LAs for which no information was available. In order to develop an up-to-date sampling frame, a short pro-forma was sent to all LAs in England (except those above) in January 2012. Of the 92 that responded, 14 (15 per cent) indicated that some of their schools already

had responsibility for commissioning AP for permanently excluded pupils, or received devolved funding for AP. A total of 65 LAs were found to meet the criteria as a result of this survey, and the sample of schools was drawn from these LAs. A total of 665 schools were invited to participate, of which 43 agreed, from across 31 LAs. These made up the comparison sample.

3.2.3 The sample of trial and comparison schools in the final phase of the research

In the final phase of the research conducted in 2013, the samples contacted consisted of all those that participated in the baseline data collection in 2012 and had returned at least one of the research instruments. (This number was higher than that stated in the interim report because schools and LAs were included based on returns up to 31 December 2012, whereas the interim report had a cut-off date of 31 October 2012 (see Table 4)). Overall, despite this slight increase, the sample in 2013 remained small. The samples of schools in the final phase formed the basis for two separate teacher surveys and for the collection of pupil data. Because of the small sample size, any findings reported here which are based on the teacher surveys or on pupil data collected directly from schools should be interpreted with caution. They are unlikely to be nationally representative or to give a reliable measure of impacts.

Table 4 Numbers of schools and LAs in 2013 trial and comparison samples

	Schools in sample	Schools returning data	LAs in sample	LAs returning data
Trial sample	88	70	11	10
Comparison sample	47	33	31	28

Source: NFER Research Operations

3.2.4 The characteristics of the sample schools

Table 5 summarises the characteristics of schools participating in the trial and in the evaluation on 31 October 2012, i.e. eight LAs out of the eleven trial LAs. Trial schools were broadly typical of all schools nationally, with the notable exception that they have substantially lower numbers of pupils from Caribbean or Gypsy and Roma Traveller ethnic groups. They also had a slightly higher rate of permanent exclusion in 2010/11. The trial schools participating in the evaluation were similar, but with slightly lower numbers of pupils eligible for free school meals (FSM) or recorded as having School Action or School Action Plus SEN. Participating comparison schools were more representative of the national population, and had more pupils eligible for FSM, more SEN (of any type), more ethnic minorities, more fixed-period exclusions, but fewer permanent exclusions compared with trial schools in the evaluation. These pupil characteristics are particularly relevant because of their predominance amongst excluded pupils. Table 6 sets out the same information for the final data collection. There were no

significant differences in relation to the school characteristics between the samples participating in phase 1 and the final phase.

Table 5 Summary of pupil characteristics at trial and comparison schools participating in the trial at 31 October 2012

Characteristic	All schools in England	All schools in trial	Trial schools in evaluation	Comparison schools in evaluation
Total number of schools (all types)	3,268	144	51	31
Total number of pupils	3,234,877	130,319	48,440	30,622
Average % of pupils eligible for FSM	15.6	14.9	14.3	17.2
Average % of pupils with SEN (statement)	2.0	2.0	2.0	2.6
Average % of pupils with SEN (School Action or School Action Plus)	19.0	17.9	18.0	19.6
Percentage of pupils in Black Caribbean or Gypsy and Roma Traveller ethnic groups	1.6	0.2	0.3	1.4
Average fixed-period exclusion rate, 2010–11 (%)	8.8	8.8	8.0	9.3
Average permanent exclusion rate, 2010–11 (%)	0.15	0.22	0.18	0.16

Source: School Census January 2012 and Exclusion data 2010–11.
Coverage: All mainstream secondary schools (excludes sixth form colleges, primary schools and special schools but includes academies and LA maintained schools). Evaluation trial and comparison schools only include those responding by 31 October 2012, which in particular only includes eight of the 11 trial LAs.

Table 6 Summary of pupil characteristics at trial and comparison schools participating in the trial, June 2013

Characteristic	All schools in England	All schools in trial	Trial schools in evaluation	Comparison schools in evaluation
Total number of schools (all types)	3,281	179	88	47
Total number of pupils	3,201,225	166,355	86,265	47,125
Average % of pupils eligible for FSM	15.2	13.9	13.4	17.0
Average % of pupils with SEN (statement)	1.9	1.8	1.8	2.7
Average % of pupils with SEN (School Action or School Action Plus)	17.1	16.2	15.7	19.7
Percentage of pupils in Black Caribbean or Gypsy and Roma Traveller ethnic groups	1.5	0.4	0.6	1.2
Average fixed-period exclusion rate, 2011–12 (%)	7.85	5.32	5.48	4.19
Average permanent exclusion rate, 2011–12 (%)	0.14	0.02	0.01	0.01

Source: School Census 2013 and Exclusion data 2011–12.
Coverage: All mainstream secondary schools (excludes sixth form colleges, primary schools and special schools but includes academies and LA maintained schools). Trial/comparison evaluation school figures are based on all schools which have responded to any research instrument during the evaluation.

3.2.5 Recruiting and retaining schools

A range of strategies was adopted in order to encourage schools to participate in both trial and comparison samples. LA contacts were involved from the start in the case of the trial sample and later for the comparison sample. Representatives from each LA were given full information about the evaluation, including copies of the research instruments.

LAs were first approached with information about the schools which were to be contacted, and offered the opportunity to withdraw any schools in special circumstances. After that, all schools received a letter inviting participation. All schools that did not withdraw at this point were sent a second letter, including the research instruments. Following this, non-respondents received a series of reminders: a letter reminder; a telephone reminder; and a further letter with further copies of the research instruments. Finally, a reminder email was sent to LAs. Participating schools were offered a facilitating payment of £200, equivalent to a day of supply cover, to reduce the burden of completing the research instruments in phase 1 and the final phase of the research.

The invitation to participate was supplemented by a number of approaches intended to foster school engagement. A full-colour information sheet about the evaluation was produced, headed by a 'School Exclusion Trial' logo. This logo was developed with the aim of establishing a clear identity and image for the evaluation that would ensure easy recognition throughout the two years of the study. Further, the research team hosted a series of webinars to give information about the evaluation and answer questions about participation. These were online seminars to which school staff could log in at a specific time to watch and listen to a PowerPoint presentation with a commentary from the four project managers.

Despite these various recruitment strategies, the participation rates for both trial and comparison schools were disappointing. In the first phase of the evaluation, nearly 30 per cent of trial schools completed a pupil profile form (PPF) (41 out of 144 in the eight LAs commencing the trial), which compares favourably with other evaluations. Amongst comparison schools the response rate was less than five per cent – much lower than would be expected. Where schools gave reasons for refusing to participate, these were, in order of frequency: unable to help (no specific reason); pressure of work; particular school circumstances such as reorganisation; staff or headteacher shortage or illness; too many requests for help; and the study regarded as inappropriate or irrelevant. In the case of the majority of schools in both samples, no response was received despite reminders.

In the final phase of the research, sustained efforts were made throughout the data collection period to retain school engagement. A webinar and written research update offered participants an opportunity to discuss the findings from the first phase. Between the initial despatch of research instruments on 18 April 2013 and the final instrument returned on 6 August 2013, non-responding schools received two reminder letters and up to five telephone contacts. In the final weeks of the summer term, individual conversations allowed schools to negotiate extended deadlines. Researchers worked with LA representatives to coordinate contacts and encourage schools to complete their data collection. The time commitment for schools was recognised again through a facilitation payment of £200 for each school returning data. As a result of these strategies, a relatively high proportion of the schools and LA representatives in the samples returned data in this final stage, although the sample remained small.

3.3   Survey methods

Several data collection instruments were developed and are described in more detail below. A version of each was sent to trial and comparison schools/LAs in 2012 and 2013. In addition, in 2013, a subject teacher questionnaire was also developed. In summary, the instruments were:

- a lead teacher questionnaire completed by trial and comparison schools;
- a pupil profile form (PPF) completed by trial and comparison schools;

- a LA questionnaire completed by each LA; and
- a subject teacher questionnaire (2013 only).

In each participating school, individuals were identified who could be designated the lead teacher in matters relating to pupils at risk of permanent exclusion. This lead teacher completed two instruments: a baseline questionnaire and a pupil profile form (PPF). These were completed in the first year of the evaluation and followed up in 2013 in the spring/summer.

3.3.1 The lead teacher questionnaire

The 2012 lead teacher questionnaire was provided in both paper and online formats and sought to characterise the situation and practices in schools before the start of the trial. For this reason, respondents were asked to answer in relation to the preceding academic year. Those completing the questionnaire in the academic year 2011–12 were asked about the 2010–11 school year; whilst those joining the trial in the autumn term of 2012 were asked about the 2011–12 school year. The questionnaire covered: the number of pupils at risk of permanent exclusion in each year group; types of in-school provision in use; effectiveness of each type of in-school provision; number of pupils provided with AP; types of AP in use; effectiveness of each type of AP; reasons for using AP; processes for arranging and monitoring AP; strengths and weaknesses of these processes; and funding information. The funding information asked about resources allocated to AP and in-school provision and the staffing allocation for in-school provision and informed the economic analysis. For trial teachers only, there were also questions about changes in practice as a result of the trial.

In the final phase of the research undertaken in 2013, the lead teacher questionnaire included questions on current exclusions practice, on in-school provision for pupils at risk of exclusion and on the use of AP, together with ratings of the effectiveness of these. Lead teachers were also asked for information on the financial and other resources devoted to pupils at risk of exclusion. For the trial sample only, there were questions about the trial itself and any related changes. Some of these questions were identical to those asked in the baseline data collection, while others were new.

3.3.2 The pupil profile form (PPF)

Collecting data about pupils who were at risk of permanent exclusion was at the heart of the evaluation design. This data made it possible to track the experiences and outcomes of those pupils over the lifetime of the study and to compare trial and comparison groups. In phase 1 of the research, a pupil profile form (PPF) designed for this purpose was completed by lead teachers in a total of 74 trial and comparison schools. Those pupils identified by the school (following their usual procedures) as at risk of permanent exclusion were listed on the form. A total of 882 pupils were identified, across years 7–11. For each such pupil, further columns collected data on: gender, date of birth, year group and unique pupil number (UPN); school-based reasons and other reasons for considering the pupil at risk of permanent exclusion; in-school interventions; AP

interventions; ratings of behaviour, attendance and engagement with school; teacher assessment of attainment in English; information on managed moves; and parental/carer contact details for tracing pupils in 2013 if necessary.

In the data collection in 2013, the PPF was pre-populated with a list of those pupils identified by lead teachers at baseline as at risk of exclusion. Respondents were asked to update the list with any additional pupils newly regarded as at risk in the same cohort, who were then in years 8–11, to remove any pupils no longer regarded as at risk, and to complete information about provision, engagement, behaviour and attainment for those pupils currently deemed at risk of exclusion. They were also asked about the destinations of those pupils who had been in year 11 at baseline.

3.3.3 Subject teacher questionnaire

In the final stage of the research, because of the interest in possible impacts on the whole-school climate at this stage in the evaluation, a further questionnaire, known as the subject teacher questionnaire, was devised. This was sent to lead teachers for distribution to other teachers in the school who were not directly involved in behaviour or exclusions. It was a short instrument asking for ratings of the effectiveness of school policies, views on pupil behaviour and indications of any recent changes. Lead teachers were asked to pass the questionnaires to up to five other teachers willing to complete them.

3.3.4 Response rates from participating schools in 2013

In 2013, not all schools returned all of the instruments requested. Table 7 sets out the numbers of each instrument returned setting out the sample for the final analysis.

Table 7 Numbers of each research instrument returned by schools in 2013

	Schools in sample	Lead teacher questionnaire	Subject teacher questionnaire	Pupil profile form (PPF)	Pupils listed on PPF
Trial sample	88	63	267	47	677
Comparison sample	47	29	138	21	308

Source: NFER Research Operations

3.3.5 Questionnaire for local authority officers with responsibility for excluded pupils

In the first phase of the research, a questionnaire was developed for LAs, reflecting LA responsibility for AP before the trial in trial areas and for comparison schools. The respondent was the LA officer responsible for this area of work. The questions related to

excluded pupils and covered: the number of pupils provided with AP; types of AP in use; effectiveness of each type of AP; processes for arranging and monitoring AP; strengths and weaknesses of these processes; funding information; and, for trial LAs, questions about changes as a result of the trial. The funding information asked specifically about the costs of the AP provision that LAs had provided/arranged for pupils at risk of exclusion, either fixed term or permanent, during the academic year, which would inform the later economic analysis.

In the final phase of the research, the LA questionnaire included questions about provision for which the LA held responsibility, financial and other resources, and, for trial LAs, changes since the beginning of the trial. It was completed by the LA contact responsible for the trial, or for exclusions within the LA.

3.3.6 Modelling using the National Pupil Database

In addition to asking schools to identify pupils they considered to be at risk of permanent exclusion, a complementary sample based solely on administrative data from the National Pupil Database (NPD) was generated in phase 1. This was undertaken in two stages of 'at risk' modelling. Firstly, historic data on permanent exclusions in the 2009–10 academic year for all mainstream schools in England was analysed together with a range of school- and pupil-level characteristics from the preceding years. By estimating multilevel regression models, factors were determined which were associated with an increased risk of permanent exclusion. The second stage then involved using the results from this modelling to predict a 'risk of exclusion' figure for each pupil at evaluation schools during the 2011–12 academic year. All pupils with greater than a particular threshold level of risk were then included in this additional 'at risk' sample. This modelled 'at risk' sample was used in analysis alongside the schools' lists to provide an alternative measure that was consistent across schools and did not depend on individual judgement.

The rationale for the adoption of this dual approach to identify pupils at risk of permanent exclusion recognised both the strengths and weaknesses of reliance on schools for this information. It was considered likely that the approach to pupils being selected as 'at risk' would vary substantially between schools, and that this variation might in some way be related to non-participation in the trial – thus introducing possible bias into the analysis. An independent analysis based on administrative data from the NPD would enable any possible biases to be explored and addressed, and the sample identified by schools to be augmented. In the final phase of the research, the modelling analysis compared all trial schools (not just those participating in the evaluation) with other schools nationally using pupil data from the NPD.

3.4 Qualitative data collection

3.4.1 Interviews with LA personnel

Telephone and/or email interviews were undertaken with LA officials from all 11 LAs involved in the trial in the first and final phases of the research. In the first phase, these focused on a description of previous practice, the development over time of the implementation of the trial, the transfer of funding arrangements, the working relationship with schools and the LA, the impact of the trial – in terms of provision, transferability, admissions and managed moves, and key lessons. The interviews in the summer term of 2013 provided the evaluators with an update on developments within the LA since the initial interview in summer 2012. The interviews were guided by a semi-structured schedule and explored issues of particular interest in this final year of the evaluation. There was a strong focus on the implementation of the trial, including any changes in funding, responsibilities and structures. Commissioning and monitoring of AP were covered, together with the support offered by the LA for schools. The LA officers were asked to comment on their perceptions of the impact of the trial on pupils (including those in groups disproportionately excluded), schools, the local AP market and the LA itself.

3.4.2 Case studies

LAs were instrumental in arranging and brokering the case-study visits by negotiating with school and AP staff to secure the involvement of the most relevant and appropriate key stakeholders. In some cases, it proved difficult to engage potential research participants, particularly parents and carers (reflecting known difficulties involving hard-to-reach groups) which contributed to variation in the sample size and nature across the LAs.

The case-study sample consisted of seven trial LAs and involved schools and other stakeholders. Three LAs took part in in-depth case-study visits in the first year of the trial in summer 2012. In the final 2013 data collection phase, they were invited to update their experiences through a light-touch approach by completing a brief pro-forma. The other four LAs (denoted in Table 8 below as LAs 4–7), formed the sample for the in-depth case-study visits in 2013; schools in some of these LAs had completed a pro-forma in 2012. Table 8 gives an overview of research participants in the 2012 and 2013 in-depth case studies. The case studies with LA7 took place six months later than those in the other LAs.

The LAs were selected to represent different populations in terms of ethnicity, proportion of SEN, the proportion of traveller children and other social groups, level of social deprivation, type of location, e.g. rural or urban, inner and outer city, and size of LA. Schools were selected from those participating in the trial in order to gain an understanding of the processes involved in implementing the trial.

The case-study visits took the form of a combination of group interviews where members of staff had worked together on aspects of the intervention and single interviews where these were deemed more appropriate, for instance, with the headteacher. They were guided by semi-structured interview schedules. For professionals within schools, these included: changes in funding, responsibilities, structures or policies related to the trial; in-school provision and AP; provision and monitoring of AP; and perceptions of impact on pupils, the whole school and the local AP market.

Interviews with AP providers focused on previous practice, any changes in management and processes related to the trial, perceived impacts and consequences of the trial, and views of effective practice in AP.

Where pupils had been involved in the same interventions, group interviews were undertaken. Pupils were selected to be representative of the target pupils for the intervention. Pupils were interviewed in schools, PRUs, APs or at an appropriate place of their choice. The parent/carer/pupil interviews enabled exploration of expectations prior to the start of the intervention/AP and whether these had been met; whether things could have been done differently, what had worked well; and the impact of the intervention/AP on the young people, including engagement with education and future plans.

Table 8 sets out the number of participants involved in the fieldwork visits. LAs 1–3 were visited in 2012 and LAs 4–7 in 2013. Details of the seven LAs where the fieldwork was undertaken are included in section 4.

Table 8 Case-study participants

Participants	LA1	LA2	LA3	LA4	LA5	LA6	LA7
School staff	9	3	10	17	6	9	2
Parents/carers	1			6	2	3	0
Pupils	4		10	12	9	0	0
AP Provider/staff	1	1	3*	4	4	4	3
LA staff		1	4				
Number of case-study schools	3	3	3	3	3	2	3

*PRU staff are included under AP providers

4. Implementation of the trial: structures and funding

4.1 Local authority perspectives

This section is based on questionnaire responses in the final stage of the research from ten trial LAs and 28 comparison LAs (the eleventh LA did not return a questionnaire). Although the numbers are small, percentages are used in the commentary where a direct comparison between trial and comparison responses is appropriate.

4.1.1 Approach to exclusion

Three of the ten responding trial LAs reported that no pupil had been permanently excluded in the last year. The other seven had excluded pupils and were therefore asked whether schools still had responsibility for the educational provision of these pupils; two reported that schools did still have some responsibility. This was lower than expected considering that these LAs were part of the trial group and that schools should have taken over considerable responsibility for AP. Possible explanations include that not all schools in every LA were taking part in the trial and that LAs were taking different approaches to the trial, as described in Chapter 1.The changes that had been implemented included:

- funding for AP going through the school;
- the school not taking responsibility for AP itself but being involved in the process of reintegration after AP;
- the school taking full responsibility for educational provision for permanently excluded pupils; and
- the school being involved in commissioning AP.

Almost 90 per cent (25) of LAs from the comparison group reported that they had had a pupil excluded in the last year but only one LA said that schools continued to retain some responsibility for the educational provision of these excluded pupils (four per cent). This involved pupils sitting exams at the school after they had been excluded.

4.1.2 School exclusion policies

LAs were provided with a list of AP school policies and asked if any of their schools had adopted them. There was considerable variation in responses (see Figure 1).

Figure 1 Percentage of LAs reporting that any of their schools had the following AP policies
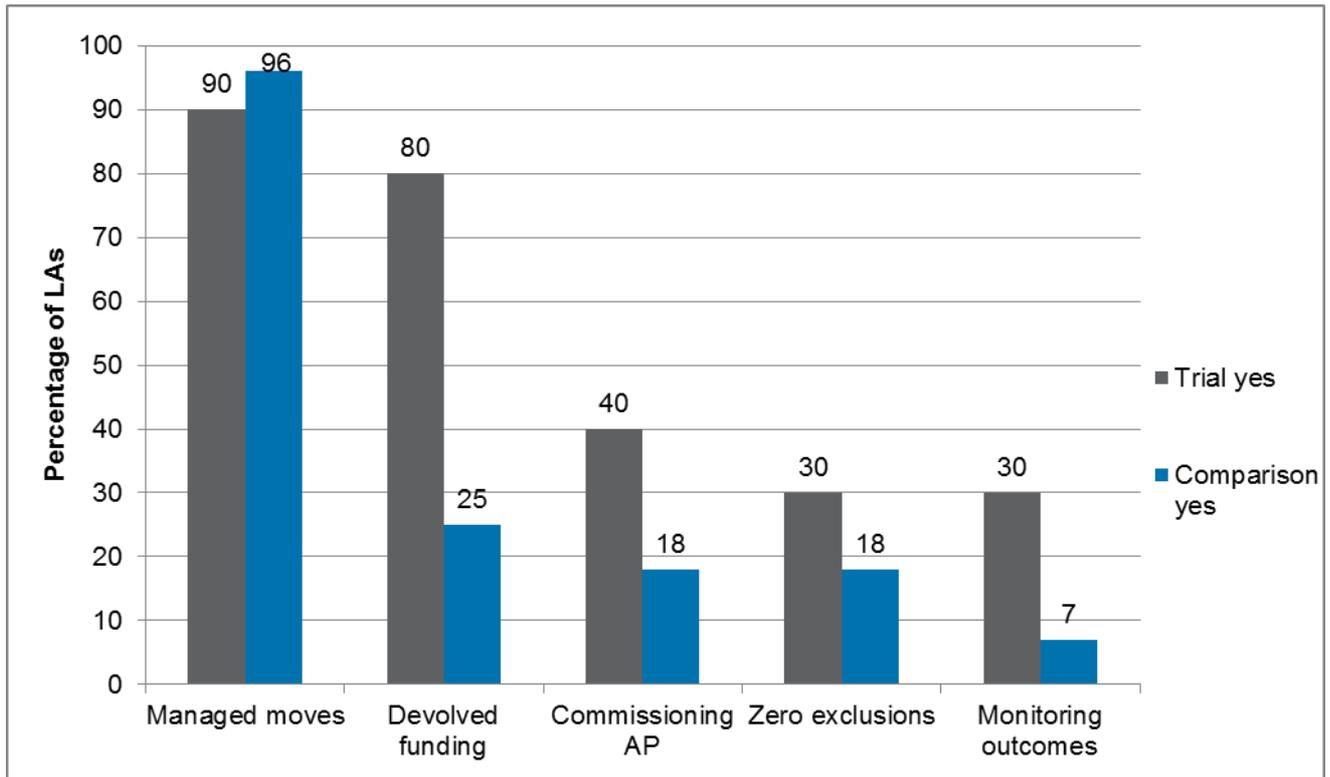
Figure 1 shows that there were distinct differences between the responses of trial and comparison LAs' school practices relating to AP, specifically on devolved funding and school responsibility for AP commissioning and monitoring of outcomes. A greater proportion of trial LAs also reported that schools had zero exclusions policies than comparison LAs. Managed moves were frequently used in both trial and comparison schools. Overall, zero exclusion policies were least likely to be combined with other policies in both trial and comparison LAs, in part because few LAs adopted this policy.

The respondents from trial LAs were also asked whether specific policies had been introduced as a result of the trial. Figure 2 sets out the findings.

Figure 2 Percentage of trial LAs reporting that their schools had adopted the following AP policies as a result of the trial or not.
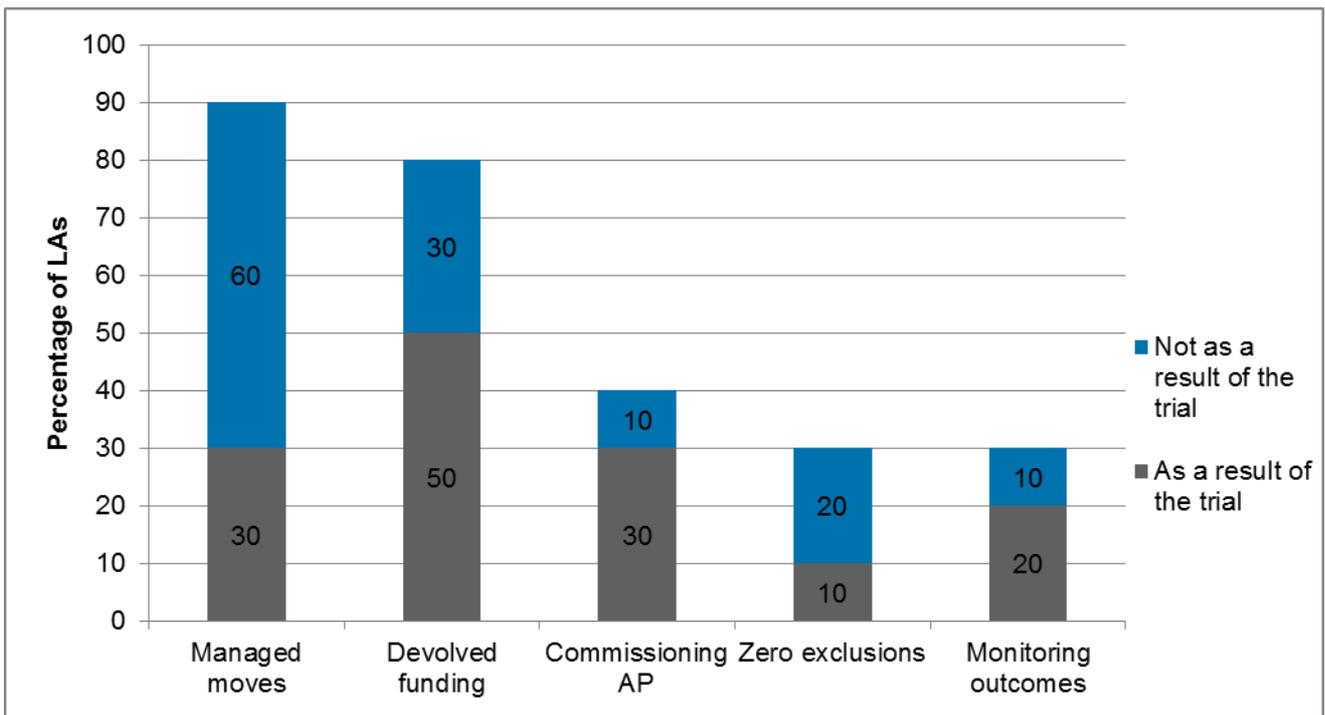
Figure 2 shows that being part of the trial had made a difference to the prevalence of all of these policies but that all were already in place in some LAs. The three policies most likely to have been introduced as a result of the trial were the same three that showed the biggest difference between trial and comparison schools: devolved funding, school responsibility for AP commissioning and monitoring of outcomes.

4.1.3 Changes resulting from the trial

Seven of the trial LAs said that they had made changes as a result of the trial. These changes included:

- increased use of partnership working and collective decision making through the use of panels, e.g. district panels, fair access panels (five LAs);
- QA/accreditation system for AP providers/service level agreements (three LAs);
- increased collaboration between schools, e.g. pupil transferred to another school for a trial period; managed moves (two LAs);
- revised commissioning procedure (one LA);
- early intervention programmes to prevent exclusion (one LA);
- time-limited AP (to avoid permanent exclusion, one LA); and
- closure of PRUs (one LA).

4.2 School perspectives

The findings reported in this section are based on responses from lead teachers in 63 trial schools and 29 comparison schools.

4.2.1 Approach to exclusion

Fewer than a third of teachers in the trial schools compared with almost two-thirds of teachers in the comparison schools had pupils that had been permanently excluded in 2012–13 (see Figure 3). This pattern of results is statistically significant. It is important to note that the percentage of teachers from the trial group reporting pupil exclusions was lower than the percentage of LAs from the trial group reporting pupil exclusions. This is likely to be because not all the schools in each trial LA were part of the trial. The LA numbers therefore include additional non-trial schools.

Figure 3 Percentage of teachers reporting that pupils had been excluded from their school 2012–13
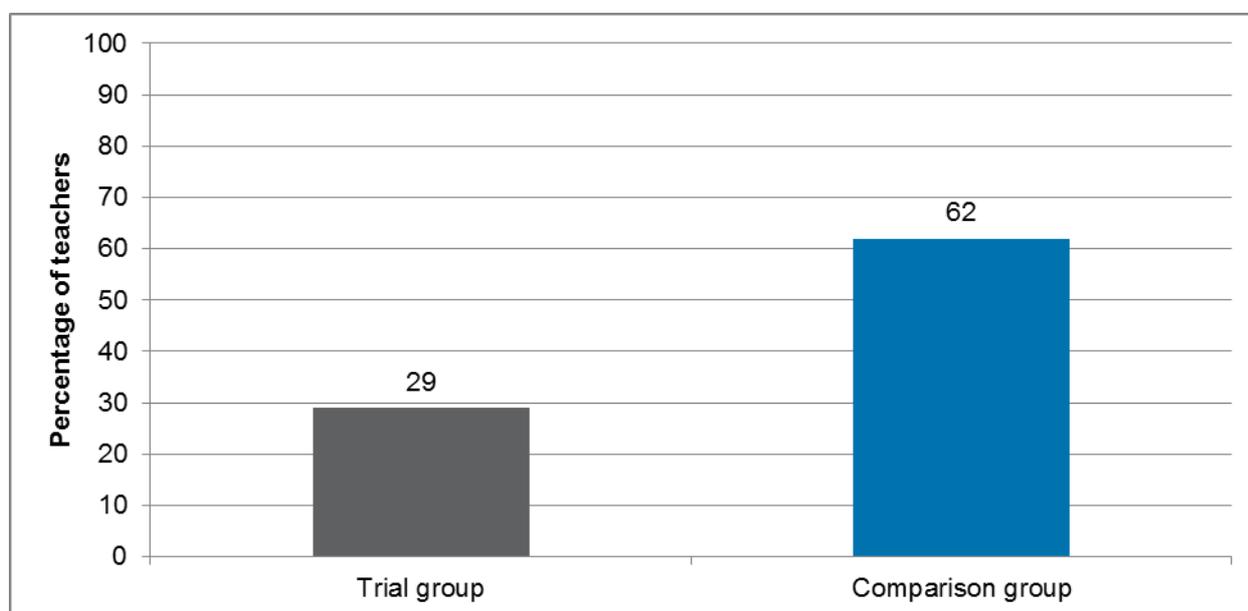
Source: Lead teacher survey
Data from lead teachers in 63 trial schools and 29 comparison schools

Of the teachers from both groups who reported that pupils had been permanently excluded (N=18 trial schools and 18 comparison schools), teachers in four trial schools and one comparison school continued to have some responsibility for the educational provision for these permanently excluded pupils. Although these numbers are very small, they are indicative of an emerging difference between trial and comparison schools. The responsibility in trial schools included: providing AP in an off-site facility; providing short-term work until the pupil could be moved to a PRU; and a range of strategies including using the local PRU. In the comparison school, this responsibility included setting work whilst the pupil attended the local PRU until they could be moved to another school. Overall, the percentage of teachers in the trial schools which had excluded pupils in the academic year (N=18) who reported having continuing responsibility for the educational

provision of excluded pupils was very low (N=4), given that the purpose of the trial was to give schools such responsibility. These findings match those reported by LA respondents.

4.2.2 School exclusion policies

Trial and comparison schools were asked about school policies relating to exclusions, to enable comparisons to be made to see if emerging policy differences were as a result of the trial. The findings are set out in Figure 4.

Figure 4 Percentage of teachers reporting that their school had the following school exclusion policies

There were statistically significant differences between trial and comparison schools in relation to devolved funding (see more details of budgetary implications in Chapter 9), commissioning AP and monitoring outcomes. These responses reflect the findings from the LAs reported above. Further analysis showed that not all of the policies in trial schools were adopted as a result of participating in the trial. Figure 5 sets out the extent to which policies were adopted as a result of the trial or not.

Figure 5 Percentage of trial teachers reporting that their school had the following school exclusion policies as a result of the trial or not
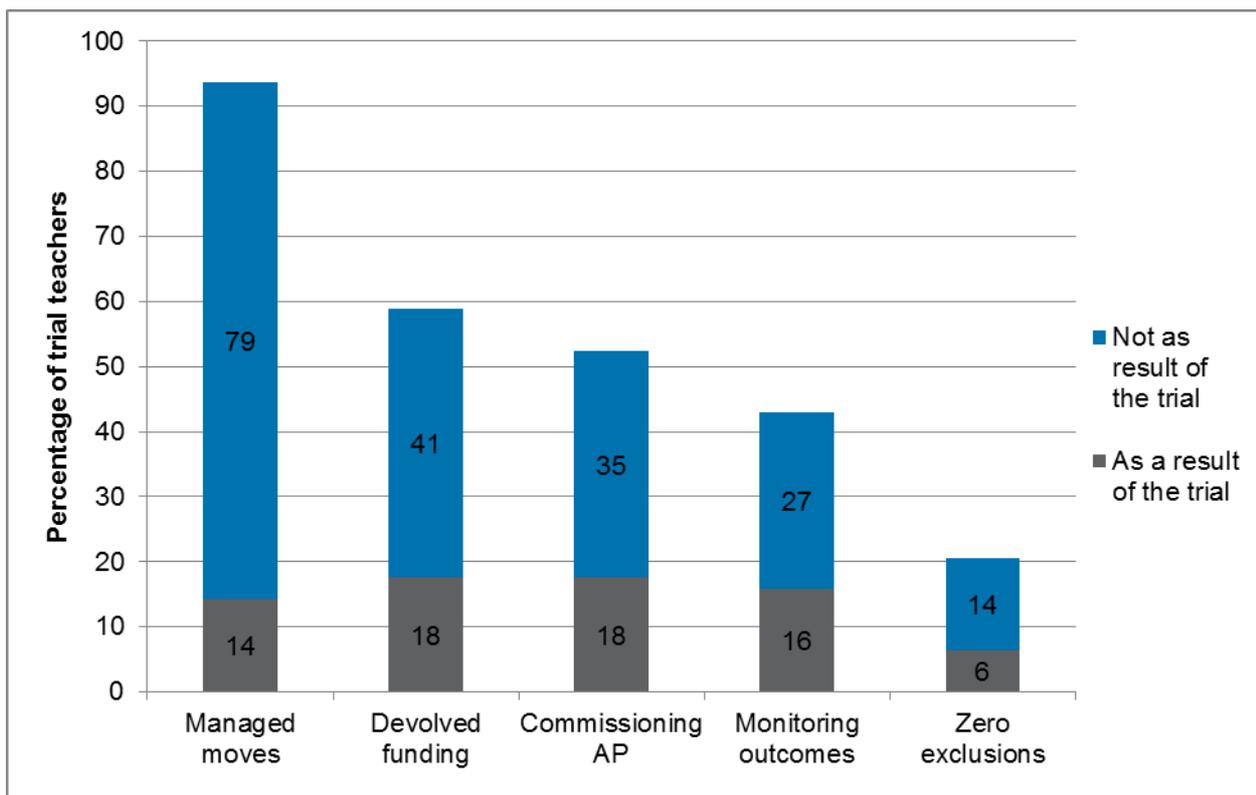
- There was no statistically significant difference between trial and comparison schools using managed moves for pupils at risk of exclusion. A large proportion of both groups reported adopting this strategy. Only 14 per cent of the trial group had introduced this policy as a result of the trial.

- A statistically significant larger percentage of trial schools reported receiving devolved funding than comparison schools, but only 18 per cent of teachers in trial schools had introduced this policy as a result of the trial.

- A statistically significant larger percentage of trial schools reported having responsibility for commissioning AP for permanently excluded pupils than comparison schools, but again only 18 per cent of teachers in trial schools reported that their school had introduced this policy as a result of the trial.

- A statistically significant larger percentage of trial schools reported having responsibility for monitoring the outcomes of permanently excluded pupils. Sixteen per cent of teachers in trial schools reported that their school had introduced this policy as a result of the trial.

- A fifth (20 per cent) of trial schools had a zero permanent exclusion policy (six per cent as a result of the trial), compared with ten per cent of comparison schools, although this was not statistically significant. Even though there was not a

significant difference between groups for the zero exclusion policy, trial schools excluded fewer pupils (see Figure 2).

4.2.3 Changes resulting from the trial

Lead teachers were asked if their school had made any changes as a result of the trial and the majority reported no change. This could be because some schools had joined the trial because they felt that the approach they were already adopting reflected its principles. In response to another open question, almost a third of the lead teachers in trial schools did, however, mention some changes. The most commonly reported change related to early intervention/behavioural support in schools, mentioned by 16 per cent of lead teachers. Thirteen per cent of lead teachers reported using AP as a result of the trial and six per cent of lead teachers reported that they had been working with other schools or the LA.

Overall, there was evidence of devolved funding and increased commissioning and monitoring of AP as a result of the trial. In trial schools, teachers reported fewer permanent exclusions, however, comparison schools were applying many of the same policies as trial schools and differences in general were not clear-cut.

4.3   Findings from the case studies and LA interviews

This section is based on the interviews with LA leads and the interviews with the case-study participants. Throughout the report illustrative examples are referred to and reported fully in Appendix 1. These are examples of how the principles associated with the trial in supporting excluded pupils and those at risk of exclusion have been approached and delivered across the case-study areas. The examples include responses at LA/area level, school cluster level and individual school level.

4.3.1 Organisation of educational provision

Local authority 1

Key features of SET

The implementation of the trial was characterised by the role of the Behaviour and Attendance Partnership (BAP) and changes made to the use of the PRU. While BAP pre-dated the trial, as part of the trial it played a stronger role with more rigorous processes in place. Documentation had been tightened up, for example; information was shared using information passports and pastoral support programmes in addition to the Common Assessment Framework. Monthly meetings afforded schools in the partnership an opportunity to discuss pupils going into the PRU and suggestions for further support within the home school or a managed move.

All schools in the partnership contributed to a 'central pot' and the PRU held back places and allocated these to schools. It offered a full programme of personalised foundation

learning, but also part-time provision. The PRU commissioned from a range of private providers and had comprehensive QA and tracking procedures.

In schools, in-house and early intervention played a strong role, alongside external support and a range of AP. In one school early intervention involved pupils helping out in the canteen at breakfast clubs. This was particularly effective for pupils with poor social skills and helped promote a sense of community.

Local authority 2

Key features of SET

The focus of the trial was about mapping the right provision for the young people, whether this was special education, AP or mainstream. Hospital school teaching also featured in the LA as a result of the large mental health centre in the locality that serviced the region. The Fair Access Panel ensured that the needs of the pupil were prioritised. A multi-remit operational group was responsible for fair access, exclusions, behaviour and attendance and the trial. The group consisted of deputy heads that had responsibility for those areas in the schools. It was chaired by a member of the LA. During the trial the key stage (KS) 4 PRU was restructured with staffing levels reduced and a change in operation. The LA perception was that schools were over-reliant on the PRU for support for permanently excluded pupils. The LA maintained statutory responsibilities for AP through the provision of KS3 and KS4 PRU. AP within this LA focused on three main areas: the use of an independent provider, the PRU and the local FE college.

Local authority 3

Key features of SET

The LA had a central role in the partnership and commissioned the AP for KS4 pupils. The trial was about increasing school responsibility and bringing provision in house. It also focused on improved partnership working. As part of the trial, changes were made to the role of the PRU. It acted as an outreach service to support pupils mainly at KS3 who were at risk of permanent exclusion. The emphasis was about re-engaging young people in order to get them back into school. Pupils attended the PRU as a short intervention before they returned to mainstream schools. Some pupils continued to attend the PRU part time and spent the remaining time at their school. In-house provision also changed with the development of internal facilities at some schools including motor vehicle, construction and hairdressing facilities.

Local authority 4

Key features of SET

The Power to Innovate (PTI) had been used to transfer legal responsibility for permanently excluded pupils temporarily from the LA to schools. The three area partnerships were the principal decision-making frameworks through which devolved

funding was allocated and managed locally. Through the partnerships and service level agreements (SLAs), schools chose how to commission AP for their pupils either collectively, in small groups of schools or individually.

Two area partnerships (a total of 18 schools) chose to have the money devolved to individual schools to use themselves. They all made provision either on site or off site individually or they purchased it from one of the accredited providers from the LA catalogue.

The third partnership (ten schools) pooled half of their collective devolved budget and commissioned a UK charity as the main provider for pupils at risk of exclusion. The remainder of their budgets funded a range of other in-house, preventative support initiatives.

Local authority 5

Key features of SET

Prior to the trial, the LA had begun to devolve some funding to facilitate and strengthen partnership working and behaviour support initiatives and practices amongst schools. Alongside this, developments had taken place in the organisational and management structures of the LA's PRUs. The high quality of PRU provision meant that good links were facilitated between the PRU and the secondary schools. As the trial progressed, schools – individually and in partnerships – continued to commission various services from their local, district PRUs. A key aspect of SET was the embedding of pupil placement panels in each of the districts as a model of working for permanently excluded pupils and those vulnerable to exclusion.

The scale and geography of the LA, and the increasing levels of school autonomy, meant that across the county there were different localised responses to, and manifestations of, the trial approach whereby PRUs were integrated in a number of ways into the local educational infrastructure. In many cases, the PRUs were commissioned to deliver a broad spectrum of support, either as respite, part-time or full-time provision, which usually entailed the dual-rolling of pupils. In this way, connections and relationships between the school and pupil were retained, and the school contributed to the cost of that provision (that may also have involved additional provision purchased by the PRU) alongside core-PRU funding. Early identification and intervention, including a focus on family intervention was a key feature of the trial approach with schools developing their own on-site provision as well as commissioning external support. There was a corresponding increase in PRU provision at KS3 to meet this increasing demand from schools.

Local authority 6

Key features of SET

Schools had retained some responsibility for pupils they permanently excluded through financing the cost of subsequent AP (set at a flat rate of £10,000 plus the remaining Age Weighted Pupil Funding (AWPU) amount per excluded pupil). There was a cohesive and collaborative approach to supporting pupils, facilitated through a formalised network of secondary headteachers underpinned by enhanced data-sharing protocols and a forum for regular discussions about supporting pupils. The LA had overseen revisions to the In Year Fair Access (IYFA) processes to which all schools in the LA had signed up to and were actively participating in. Peer-to-peer support and challenge were key features of the operation of this system as the LA role had gradually reduced. There was a reduction in the number of permanent exclusions and there was a greater emphasis on early identification and preventative approaches in and by schools in relation to addressing behaviour problems. Processes for commissioning and monitoring AP had improved, particularly through the role of the KS4 PRU, including the development of a directory of approved providers. One secondary school within the LA, although making use of LA managed moves and the IYFA panel, had set up extensive in-school provision and made little use of the LA KS4 PRU.

Local authority 7

Key features of SET

The LA currently retained a degree of funding through which a number of primary and secondary PRU places remained, offering a city-wide 'safety net' of provision during the transition to full school/partnership responsibility. Schools had the option of using devolved funding to provide their own provision or commission it from other providers, or to purchase PRU places through either a pre-bought, or as-needed basis. The LA retained a key role in supporting the partnerships throughout their development and helped to ensure consistency in the quality of provision available in the different areas through their varying approaches.

One area, for example, capitalised on the quality and experience of a local special school in supporting pupils with a range of social, emotional and behavioural needs, and commissioned this service as the central element of its inclusion provision. In a different area of the LA, a subsidiary company of a secondary academy offered inclusion services to support at risk pupils from all the schools in the partnership area, and beyond. In both these approaches, the schools' commitment to the partnership, and close relationships with the principal provider ensured constant dialogue, feedback, scrutiny and discussion to ensure that the schools continued to have access to the provision that best suited the needs of the pupils for whom they were responsible.

4.3.2 Schools taking increased responsibility for young people

The overriding theme which emerged from the LA interviews and case-study visits was that trial schools were taking an increased responsibility for pupils at risk of exclusion, which in turn meant that they were working to place young people in the most appropriate provision. This involved developing a more holistic offer to meet the needs of the young person and necessitated a collaborative perspective.

LA leads reported that:

> *There is more negotiation around placing pupils in the most appropriate provision and trying to meet their needs* [and that] *SET has been a crucial part of these positive changes – it has developed a collaborative perspective. It's improved provision, it's given a better deal for individual pupils and it's shifted mind-set in schools – schools are getting the picture that these kids are their responsibility.*

Apparent too was a focus on inclusion, so that when pupils were excluded from school they were still seen as part of the school community. Throughout the trial a number of LA staff reported an increase in what was described as 'dual roll' where pupils remained on the roll of the mainstream school. Current legislation permits the dual registration of pupils at more than one school. The main examples include where pupils are attending a PRU, AP academy, AP free school or a special school. In the trial, the use of dual roll at KS3 typically involved a short-term intervention at the PRU and reintegration into the mainstream school. The dual roll also meant that schools were concerned that pupils had good academic results. Where pupils are dually registered, their attainment counts towards the mainstream school's performance measures and their education would be considered as part of any inspection of the mainstream school. One LA lead commented that a key driver within SET was putting the pupil at the centre of all decision making: 'We still want them to be part of our school community, social inclusion is really important.'

Many headteachers spoke about the importance of schools maintaining links with their pupils. In one example, the headteacher spoke about three pupils who had accessed the PRU provision who would have been permanently excluded had the provision not been in place. The headteacher went on to comment that:

> *If I had excluded them, they would have gone to the PRU anyway, but what we would have lost is their sense that they still belong to our school and that we cared about them. A lot of these children are vulnerable anyway, and working with them this way, they know that the school did its best by them and they will have more chance to contribute to society later on if we don't exclude them.*

At the time of the interview the PRU was having its passing out ceremony and some of the pupils from the school were graduating. The schools' intervention manager had attended the ceremony to support them. The headteacher commented further that:

They are still a part of our school so they will be invited to the prom. That's the beauty of it – hopefully we'll have had an impact on how they feel (about themselves which will have a knock-on effect in terms of behaviour) and how they will get on later on in life.

LA leads perceived schools to have greater awareness of AP provision as a result of SET:

Sometimes in schools, the alternative curriculum was totally removed from other members of staff, and SET has focused it more on other members of staff – pastoral staff are more aware of how they have got to get those educational outcomes now. (LA lead)

It was important that whatever provision was offered, it met the needs of young people.

Some of the drop in exclusions has been because all schools are now able to access different forms of AP. It's to do with the right curriculum. Some schools still feel that some pupils need a full-time place at the PRU, they are still dual rolled, but they go to the PRU full time. The schools are commissioning the PRU to sort out a full-time programme for them. What that young person needs, and what the PRU provides, is the education, the pastoral support and the personal development and coping skills, which is often the reason why they are not managing in the first place. It's that kind of thing that they won't get by going one day to a mechanics course. Some schools are better than others but there are some children with such complex needs that they need the extra support that is offered by a PRU. They need one to one, a key worker that will work with them on anger management and a counsellor. The mainstream schools know that's what is needed but they can't necessarily deliver it. (LA lead)

4.3.3 More robust systems in place

Supporting the questionnaire responses, there was evidence of the refinement of partnership processes in the case studies. LA leads and lead teachers commented that partnership working had increased and processes had been made more rigorous. Better information and tracking were in place. Many LAs had set up panels to review and consider provision for young people.

In one LA, for instance, the secondary school panel met every fortnight. Pupils who were in need of additional support were discussed at the panel. This could be pupils who were at risk of exclusion or who had been involved in a particular incident. As part of the improved tracking, the panel rated pupils RAG (red, amber, green) whose cases had previously been brought to the panel. For instance, if a pupil was in AP, someone would report back on that pupil. The panel as a whole had oversight of each pupil's progress and would know if they had moved to AP or another school.

In another LA, pupil placement panels were being refined as a model of working with vulnerable young people. The SET was seen as a vehicle to embed the use of the panels across the different districts within the LA. Each district had a pupil placement panel. This consisted of someone from each of the schools who had the power to make decisions; someone from the PRU (usually the headteacher); and someone from the LA (usually a representative from the pupil access team). The panel met on a monthly basis and considered the young people in their area in need of support. For instance, some young people might already be in the PRU because they were permanently excluded. In this case, the panel would review whether they could be moved back to mainstream school. Other pupils might be on the brink of exclusion and the panel would consider whether an intervention would prevent that.

Schools also discussed pupils at the panel who were struggling with school. As a result they might be offered managed moves. There were also pupils new to area who were hard to place due to their complex needs and histories. Often it was not appropriate for these young people to go straight into a mainstream school so they would initially be placed in a PRU for assessment. The panel would review these cases. All the reviews took place 'round the table' so that the process was transparent. The young people were 'owned' by the panel in their area and the panel had to find a way of accommodating them. Prior to the pupil placement panel, the LA Officer from Pupil Access Services had circulated a list of requests for managed moves.

In one LA where the PRU was the provider of AP for schools and also commissioned external AP, rigorous processes had been established to ensure that school referrals were appropriate (see Box 4.1 and Appendix 1, Illustrative example 5).

Box 4.1: Improved use of data by a PRU to enhance the commissioning and referral process

Information-gathering exercises, involving all relevant stakeholders, underpinned the referral process and focused on the Common Assessment Framework (CAF) and Team Around the Child (TAC) meetings.

When school staff wished to refer a pupil to the PRU they were required to initiate a TAC meeting attended by a senior member of the PRU staff. The PRU then requested data relating to the pupil's prior attainment and background information on behaviour, existing interventions and other support needs. PRU staff conducted a home visit and held an admissions meeting. Due to this, the assessment process was well underway before the pupil entered the PRU. Once the PRU had agreed to accept the referral, the school then commissioned the place, based on the conditions of a standing collective agreement between local schools to fund the PRU to deliver AP and support on their behalf. Further assessments then took place, including academic assessment, to determine the pupil's situation and to establish the portfolio of provision to be put in place.

4.3.4 Early intervention

In one LA, the PRU provision was remodelled to enable an increased focus on early intervention for pupils (see Box 4.2 and Appendix 1, Illustrative example 4).

Box 4.2: Collaborative PRU provision to support early intervention

As a response to increasing numbers of referrals at KS3, the PRU provision was remodelled to provide early intervention work for pupils at risk of exclusion. Schools worked collaboratively and collectively to fund the PRU to provide the early intervention which consisted of a short-term, time-limited intervention. The aim was to get the pupils back into mainstream school. The young person might go back to their original school, another school in the area, or possibly a special school if a statutory assessment was in place.

The approach was operationalised through the area behaviour panel.

The PRU provided support for pupils in years 7, 8 and 9. Through increased funding, the PRU was able to employ more specialist staff to support the changed cohort of pupils and at the end of the evaluation supported over 20 KS3 pupils, more than three times the number of places available under the previous model.

This additional approach to early intervention complemented in-house provision:

> *The school is already putting a lot of intervention in place to support pupils vulnerable to exclusion – either in house through early identification and intervention, or through the use of external support – mainly in terms of the LA PRU. Places are commissioned to help overcome pupils' behaviour-based barriers to effective engagement with mainstream school.* (Assistant headteacher)

There was a sense that schools were committed to early intervention and that this was making a difference to pupils at risk of exclusion:

> *Because our capacity has increased, we can reach more young people so I think that's made a huge difference, whereas before we were very much fire-fighting. What we can offer now means that we can see young people much sooner. So that we're maybe not seeing those young people with those huge challenging behaviours but we're helping them at an earlier point.* (Assistant headteacher)

Related to early intervention was the emphasis on the use of data tracking to identify pupils at risk of exclusion. Similar to the use of more rigorous processes across the trial LAs, schools were making effective use of data to identify patterns of behaviour in order to put in place support packages for young people.

> *I do lots of data tracking all the way through and I have a weekly meeting with the head of maths and the assistant director who is responsible for monitoring. There*

are also weekly meetings with the support and welfare team looking at behaviour. We brainstorm the pupils who have had behaviour issues and we look at different interventions that we can put in place initially for that young person. If that is not working, we might look to bring in outside agencies. We look as creatively as we can to what might work for each young person to solve the problem.

At the end of KS3 a huge amount of work goes into information and advice, making sure that young people who are showing signs of disaffection… have the right package of courses. (Assistant headteacher)

4.3.5 In-school provision for pupils at risk of exclusion

In one area partnership of ten schools, all but two had set up their own provision/unit for pupils at risk of exclusion. The remaining two did not have sufficient pupils at risk of disengagement who would benefit from such provision: there were also concerns about costs. In this area, for instance, one school converted an old building located on the street opposite to the school site. The location was felt to be ideal in that it was sufficiently far away from the mainstream school that the pupils were kept away from the other pupils (as a punitive measure but also to lower risk) but was close enough to ensure that the pupils were still able to access elements of school provision and the teachers were able to maintain continuity with the pupils.

The students have a structured full timetable in the unit, the morning is spent on academic work and the afternoon is spent on other activities around behaviour management. When the students are deemed ready for integration, this is done gradually. They attend lessons where they have a good rapport with the teacher and enjoy the subjects so that they gain confidence around attending lessons and behaviour correctly. It's about being adaptable and flexible around how you reintegrate, understanding the child and what's right for them. (Teacher)

At the time of the interviews the school was about to establish an internal support room – a halfway house for pupils who were displaying difficulties but who were able to stay in mainstream education. It was anticipated that pupils in the unit described above would attend the internal support room as they moved to becoming fully reintegrated into mainstream. As schools within the partnership established their provision, some pupils in the area had accessed the on-site provision at other schools. The company manager for the full-time external AP provision in this LA commented that:

The close collaboration between the schools in the partnership will mean that taking each other's students for short-term provision will be increasingly more common as they discover which setting works best for particular groups of children and they can then offer places accordingly.

In another LA, a large secondary school had established two on-site centres where vulnerable pupils and those at risk of exclusion could receive additional support, as part

of early intervention to enable them to engage with mainstream education. The two centres had distinct roles and remits (see Box 4.3 and Appendix 1, Illustrative example 8).

Box 4.3: School cultural shift in supporting vulnerable pupils through in-school provision

The first centre provided a range of support, staff and opportunities to support vulnerable pupils in re-engaging with school and learning. This included a base for school counsellors. Pupils were able to visit the centre and discuss problems and concerns throughout the school day.

The second centre had been established to meet the needs of a smaller group of pupils who presented behaviour-related issues that would have culminated in permanent exclusion. The focus was to provide the educational, social and emotional interventions to maintain the pupils in education, in the school. The centre had evolved to operate around a nurture group system for the school's most vulnerable pupils, providing support through small groups, breakfast or lunch clubs.

> *I think all schools would acknowledge the earlier they intervene the greater the likelihood of success. We identify students from our nurture groups with discussion from the primary schools and who they think has got issues and information coming through from primary level.* (Assistant headteacher)

In another LA, one school had started working with year 7 pupils as part of early intervention. This school had a strong commitment to inclusion and had developed a range of in-house support for vulnerable pupils. The approach was not based on a 'one size fits all' conceptualisation of providing support, but was tailored to the needs of the young person. The in-house provision had evolved against a background of a high number of young people identified as NEET on leaving the school, in addition to a large number of pupils who were at risk of exclusion. A central element of the in-house provision was a dedicated centre for pupil support and the involvement of external agencies to work with pupils and their families (see Box 4.4 and Appendix 1, Illustrative example 7).

Box 4.4: In-house, multi-agency provision to support vulnerable pupils

The centre supported the individual needs of pupils through bespoke packages of provision, intervention, alternative curriculum and pathways, generally delivered on site with little external provision commissioned. The centre had access to a range of external agencies including social services, CAMHS, Youth Offending Teams (YOT) and domestic abuse-related provision to support the whole family in engaging with education.

> *We are multi-agency based within the centre – we have a number of partners working with us. There's always someone we can get hold of if we can't deliver the*

> *appropriate support ourselves in house. We will bring in external partners. We don't commission a lot of commercial providers, but we do have a lot of support from a network of partners and agencies.* (Deputy headteacher)
>
> Data gathering and monitoring, including initial home visits by staff, underpinned the approach to ensure that the needs of the pupil, and often those of the wider family, were understood at the onset to act as the basis for constructing the most suitable package of support.

As part of the work with younger pupils, the centre set up a database to record and monitor information when they started working with the young people and their families. The staff looked to identify patterns of behaviour and barriers to learning and for patterns among those vulnerable to exclusion, including pupils with SEN and/or on FSM. The interrogation of data was felt to be key to ensuring that young people were getting the correct support and that their needs were being met.

> *When we identify them as being at risk or vulnerable, we start putting in projects to motivate them and skill them up in terms of people skills so that they don't have to go down an AP pathway route.*(Deputy headteacher)

4.3.6 Timetable changes

Minor alterations to the school timetable to support pupils at risk of exclusion were seen across a number of schools. In one unit for pupils at risk of exclusion, the lessons started later than those in the main school to enable pupils to have longer to settle into the school day.

In another school, pupils with attendance issues could spend time in a specialist in-school support centre and gradually return to the main school timetable. Initially they would identify their 'best lessons' which drew on their strengths. This was followed by a tailored programme of phasing back until they were attending all of their lessons. This flexible arrangement seemed to be working well for the young people. For instance, one girl had had a managed move into the school and would not attend PE lessons. Initially she spent her 'PE time' in the centre but gradually returned to all PE lessons as a result of the support that she received.

4.3.7 Commissioning of AP

Different approaches to the commissioning of AP were taken across LAs. In some cases, schools directly commissioned AP through devolved funding, either directly or through partnerships, with schools valuing the LA databases of AP and agreed provider lists. In other instances, the PRU commissioned the AP. In many instances LAs had retained the lead responsibility for the quality assurance of external AP. In many instances the commissioning process involved partnership working. In one LA, as part of the trial a change in process had been put in place whereby the LA commissioned the partnership

to provide provision for vulnerable pupils. The partnership then commissioned the PRU to provide support. The PRUs in the LA were highly regarded and valued. All had good Ofsted reports.

In another LA, the LA commissioned the PRUs to provide education for permanently excluded pupils. The LA also had pupils with additional or medical needs in the PRUs, which the LA funded. The majority of private AP was commissioned via the PRUs to offer a greater variety of placements to meet pupil needs. The LA quality assured the PRU and AP accessed by permanently excluded pupils for whom they had responsibility. Schools were responsible for the monitoring and quality assurance of AP, where they accessed this for pupils at risk of exclusion as part of early interventions.

It was clear that across the trial different approaches had been taken by LAs in relation to the work of the PRUs.

In one LA, all of the PRUs had been closed and the associated funding had been devolved to three partnership areas within the county. In one partnership area, the eight schools and the local FE college collectively managed their responsibility for identifying, procuring and ensuring the quality of AP for their pupils (see Box 4.5 and Appendix1, Illustrative example 1).

Box 4.5: Area-wide AP through school and college collaboration

The partnership was structured as a limited company and the secondary headteachers and the college vice-principal were company directors. A company manager was employed on a part-time basis, with a key part of this role involving coordinating the monthly Fair Access Panel meeting, ensuring that the partnership collaborated to provide pupils at risk of exclusion with access to the most appropriate provision. The partnership purchased AP on behalf of its members with AP commissioned under a common contract and costs negotiated to ensure maximum value for money. Through negotiation the company had been able to secure a larger number of places at a lower cost price.
A national provider was commissioned to provide full time KS3 and KS4 AP provision.

Close links existed between the commissioners and providers of AP, enhancing the oversight and monitoring of the provision. The company manager held weekly meetings with AP managers to discuss the progress made by pupils and lesson observations were carried out on a regular basis. Staff from the partnership schools had regular contact with AP providers to discuss attendance, behaviour and attainment issues.

In another LA, the PRU managed the AP provision that was offered. In this illustration (see Box 4.6 and Appendix 1, Illustrative example 3), the commitment to collaborative funding of the PRU depended on a shared responsibility for providing support for vulnerable pupils and sat within district-wide processes, including managed moves and fair access protocols.

Box 4.6: Collaborative use of devolved funding to support area-based AP managed by the PRU

Schools in one district committed £5,000 of funding from their budgets to the PRU. This secured a fixed allocation of two places each year for a six-week early intervention programme for year 9 pupils. This was formalised through a service level agreement (SLA). Schools could arrange to buy and sell surplus places. Schools could also commission the PRU to provide support for year 10–11 pupils who were struggling to remain in mainstream school due to behaviour issues.

Peer-to-peer relationships between the school headteachers who self-regulated and managed the referral and placement of at risk pupils were central to the effectiveness of the approach. These relationships were formalised through monthly, data-led review meetings attended by all stakeholders: headteachers, the head of the PRU and LA personnel. Requests for managed moves, in year fair access cases and referrals to the PRU were discussed, together with the identification of patterns in the effectiveness of the provision for individual pupils.

In another LA, the area partnership took responsibility for staffing, funding and operation of the district PRU. The PRU's responsibilities were then transferred to a mainstream academy within the partnership. The provision now operates as a subsidiary company of the academy, charging its commissioning schools on a per-place basis (see Box 4.7 and Appendix 1, Illustrative example 9)

Box 4.7: Area-based key stage 3–4 AP commissioned through a secondary academy's subsidiary provision

The provision was responsible to a Senior Leadership Group comprising the local secondary headteachers, the provision head and the head of the local partnership, via termly meetings. All schools had a significant role within the commissioning structure over and above acting as purchasers of places because of their involvement in the partnership. Contractual arrangements underpinned the school/provision relationships.

Close links with the academy were effective in supporting the provision's recruitment, retention and development since the provision was branded together with the school and was perceived to be focused on schooling.

Pupils were offered a range of core qualifications, centred on maths, English and information and communications technology (ICT), alongside a BTEC (Business and Technology Education Council) work skills course to help prepare pupils for their future and the wider world of work.

Within the same LA, another area partnership took a different approach to responding to the needs of young people and commissioned a local special school to provide its inclusion service for both primary- and secondary-aged pupils. This decision was based on the school's track record of supporting pupils, its background in behaviour and inclusion, and its well-developed infrastructure and relationships with parents/carers. The

provision had undergone change and development over time, responding to the increasing scale of identified needs. Twenty staff were now involved including teachers, learning guides, family and outreach workers, therapists and strategic leads/managers. By the end of the trial, the provision encompassed a significantly expanded range of intervention programmes and activities across a number of school-based and other locations (See Appendix 1, Illustrative example 10).

In many instances the LA retained a quality assurance role. This included the provision of a list of providers and conducting lesson observations. As part of this LAs had put in place transparent costing models:

> *We do the QA as an LA. We have a very comprehensive database of providers. All our providers send us details of what their offer is each year – it is an open book calculation so they can't offer different prices to different schools. Costs are not shared with other providers, but are shared with the schools so schools are very clear what the costs of each provider are. Schools sign a service level agreement (SLA) to say they agree to pay that fee and the providers sign a SLA to tell the schools what they'll deliver.*

> *The LA still goes out and conducts lesson observations as providers are operating/funded as part of European Social Fund (ESF) funding for post-16 learners, so this function also helps the schools as the pre-16 pupil lessons can be assessed in this way.* (LA lead)

Schools were appreciative of LA provider lists/catalogues. In one LA an annual AP provider event was run by the LA so that schools could meet the providers: 'It would have been a lot harder for us to run with it if we didn't have the catalogue' (Headteacher). In this LA contractors were invited to submit an application to be accepted into the system. The LA then carried out a range of checks, including financial, business and safeguarding, and also checking on the actual educational content of the provision on offer – i.e. pre-commissioning QA checks. The catalogue was updated every year and at the end of the trial included 41 providers.

In one LA where the PRU provided and also purchased AP, rigorous systems had been put in place to monitor and quality assure the external AP provision and also to track the progress that pupils were making (see Box 4.8 and Appendix 1, Illustrative example 6).

Box 4.8: Monitoring, assessment and quality assurance of external providers

Prior to commissioning, quality checks were undertaken in relation to health and safety, child protection and insurance documents. All providers wishing to be commissioned were required to be certified by a relevant awarding body.

Once PRU staff were satisfied that prerequisite policies and standards were in place, a generic service level agreement was established. This set out details of the 'client group', the 'types of pupils they worked with', the contract price and what the cost of the provision covered, for example, personal protection equipment, lunches and transport.

The agreement also covered the level and nature of the provision to be offered and the expected pupil outcomes.

Following the commissioning of a provider, the head of the PRU and the curriculum manager conducted six-monthly reviews of all providers to ensure that previously agreed performance targets had been met and to negotiate future targets.

Providers were required to complete a pro-forma on a weekly basis that included details of pupils' attainment and attendance. Senior members of the PRU staff reviewed these documents. These weekly reports supported the PRU's operation of a traffic light system for monitoring pupils' progress, leading to the instigation of the LA-wide graduated response system to behaviour and attainment, if this was seen to be necessary.

One school providing in-house AP also acted as an AP provider to other schools. The school had on-site vocational AP including car mechanics, beauty and construction. The size of the provision was fairly small: the garage took 16 pupils, construction 14 pupils and beauty 11. This limited the offer but qualifications were being offered at Level 2. The school itself used the provision for two days per week, whilst two days were allocated to AP for other schools and the final day was allocated to former PRU pupils. The school marketed itself as a provider of vocational provision and was in the approved provider catalogue for the LA. Being both a vocational and mainstream provider meant that pupils felt that they were part of the community:

> *We're in a different position because we are a vocational provider as well as a mainstream school and we understand these types of young people that are coming in. The young people don't see our AP as a bolt-on, they see themselves as still part of the community and don't see it as 'you just want to get rid of me'.* (Headteacher)

4.3.8 Managed moves

In many instances partnerships used managed moves successfully. The regularity of partnership meetings and the transparency of processes contributed to the success of managed moves.

In one LA, the headteachers from the 22 schools in the trial attended a monthly meeting with the LA officer from Pupil Access also in attendance. Prior to the meeting the LA officer circulated a list of requests for managed moves. All of the pupils to be considered were placed on the spreadsheet and were colour-coded. The data covered the last three years. If the pupils were colour-coded red, they had been permanently excluded, yellow was a pending case, and green was for moves through the In Year Fair Access (IYFA) arrangements. This level of detail and transparency meant that all the schools were listed and it was clear which schools had accepted managed move pupils and the number of pupils over time. Overall, it was felt 'that there is a good dialogue going on with schools

about the fairness and equality of the process – it is much more open and transparent than it ever used to be'.

Collaborative working was essential where schools used managed moves successfully:

> *I had a year 11 pupil who* [due to one incident] *should have been permanently excluded but instead, I spoke to another local school and said he's never done anything wrong at all, and if I exclude him now in year 11, I know what that will mean for him. The other head agreed to take him and he's done fine in his exams.* (Headteacher)

# 5.	Implementation of the trial: provision for pupils

This chapter explores the in-school provision and AP in place in LAs and schools, comparing trial and comparison schools. It is based on survey responses from ten trial LAs and 28 comparison LAs, and lead teachers in 63 trial schools and 29 comparison schools. (Although numbers are small, percentages are used in the commentary where a direct comparison between trial and comparison responses is appropriate.) Some comparisons with baseline data are made.

## 5.1	In-school provision

5.1.1 The *number* of in-school interventions in place

When presented with a list of 22 possible in-school interventions, the number in place in schools in 2012–13 ranged across trial and comparison schools from seven to 22, with a mean of 15. There was no significant difference between trial and comparison schools in the total *number* of in-school interventions in place.

5.1.2 The *type* of in-school interventions in place

Table 9 presents information on the *type* of in-school interventions to support pupils at risk of permanent exclusions in place in trial and comparison schools, both at baseline in the academic year 2011–12 (the first year of the trial) and then in 2012–13, based on responses from lead teachers. There were no statistically significant differences between the groups in the academic year 2012–13 in relation to *which* in-school interventions were reported to be in place (despite some apparent differences in the table, none were *statistically* different). Most types of provision were fairly widespread.

Overall, although certain types of provision had increased since 2011–12 (particularly the use of inclusion/learning support units, with an increase from just over half of schools in both groups having this type of provision, to 79–90 per cent), this was the case for trial *and* comparison schools. Schools overall were less likely to implement 'time-out' provision – 90 per cent of trial schools and 83 per cent of comparison schools in 2011–12, compared with 75 per cent and 69 per cent respectively in 2012–13. Some types of in-school provision had increased over time in trial schools (for example, school home liaison, transition support from primary schools, and collaborative provision with providers), yet there were no *significant* differences in the proportions of trial and comparison schools offering each type. Therefore, involvement in the trial *per se* did not seem to have an impact on the type of provision in place at a school-level – provision was changing in comparison schools too.

Table 9 In-school interventions in place in schools

In-school interventions	Baseline trial group 2011−12 % in place	N in place	Baseline comparison group 2011−12 % in place	N in place	Round 2 trial group 2012−13 % in place	N in place	Round 2 comparison group 2012−13 % in place	N in place
Anti-bullying	83.7	41	90.5	38	90.5	57	75.9	22
Behaviour management	95.9	47	92.9	39	90.5	57	100.0	29
Inclusion/ learning support units/rooms	53.1	26	54.8	23	90.5	57	79.3	23
Anger management	83.7	41	95.2	40	88.9	56	93.1	27
Teaching assistant	93.9	46	88.1	37	88.9	56	86.2	25
Behaviour support	85.7	42	90.5	38	87.3	55	93.1	27
Counselling	85.7	42	76.2	32	85.7	54	72.4	21
Revised school timetable	91.8	45	88.1	37	85.7	54	89.7	26
School−home liaison	69.4	34	71.4	30	81.0	51	69.0	20
Transition support from primary school	65.3	32	69.0	29	81.0	51	72.4	21
Collaborative provision with other schools	65.3	32	59.5	25	74.6	47	58.6	17
Inclusion coordinator	73.5	36	76.2	32	74.6	47	86.2	25
Time-out provision	89.8	44	83.3	35	74.6	47	69.0	20
School nurse	75.5	37	85.7	36	73.0	46	82.8	24
Restorative approaches	61.2	30	78.6	33	69.8	44	82.8	24
Family support workers	55.1	27	52.4	22	57.1	36	51.7	15
SEN advisory teacher	63.3	31	61.9	26	57.1	36	51.7	15
Learning mentors	53.1	26	69.0	29	52.4	33	51.7	15
Key workers	42.9	21	54.8	23	49.2	31	13.8	4
School-led, off-site academic provision	*	*	*	*	39.7	25	44.8	13
Therapeutic activity-based interventions (e. g. art, music and drama therapy)	18.4	9	21.4	9	23.8	15	13.8	4
Family therapy	20.4	10	26.2	11	20.6	13	13.8	4
Total N		49		42		63		29

*Added in the second survey, so no baseline data was available

The pupil profile form also asked teachers to select up to five in-school interventions in place for each individual pupil they had listed as at risk in 2012–13 (a total of 455 pupils, including 309 who were originally listed in the PPFs at baseline and who were still at risk, as well as 146 pupils who had been added to the at risk list), as can be seen in Table 10 below.

Although some types of provision were widespread across schools (Table 9 above), some provision was targeted at small proportions of pupils. For example, a substantial proportion of schools had anti-bullying interventions in place, yet only two per cent of at risk pupils in trial schools and seven per cent in comparison schools had been involved in this type of intervention. Similarly, three per cent of at risk pupils in trial schools had received support via a learning support unit (LSU), while 90 per cent of schools said this provision was available. For trial schools, the type of provision engaged with by the greatest proportions of at risk pupils included school–home liaison, behaviour management, behaviour support and a revised timetable. Of these types of provision, comparison pupils were significantly less likely to have received support via a revised timetable or home–school liaison (the shading in Table 10 indicates a significant difference between the school groups in the proportion of pupils targeted for this type of provision). Support via a LSU was less adopted in comparison schools than in trial schools.

Table 10 Proportion of pupils at risk receiving types of in-school provision

	Trial pupils at risk 2012–13 %	Comparison pupils at risk 2012–13 %
Anger management	14	33
Anti-bullying	2	7
Behaviour management	40	
Behaviour support	39	40
Collaborative provision with other schools	12	3
Counselling	13	6
Family support workers	19	7
Family therapy	1	1
Key workers	26	19
Learning mentors	10	27
Inclusion/learning support units/rooms	3	41
Inclusion coordinator	18	3
Restorative approaches	16	29
Revised school timetable	30	10
School–home liaison	41	18
School nurse	1	6
SEN advisory teacher	4	4
Teaching assistant	12	1
Therapeutic activity-based interventions (e.g. art, music and drama therapy)	3	0
Time-out provision	16	13
Transition support from primary school	3	1
School-led, off-site academic provision	6	13
Other	15	7
Total N	291	164

5.1.3 The effectiveness of in-school interventions

Table 11 summarises **trial school** lead teachers' ratings of the **effectiveness** of each type of in-school provision in 2012–13 in preventing exclusions and improving pupils' attendance, attainment and behaviour. The box below gives some guidance on interpreting the table.

Interpreting the ratings tables

To present the data as clearly as possible, Table 11 shows only the proportion of teachers who rated each intervention as a four or a five out of five, i.e. positively. The proportions were ordered and then the full set was divided roughly into thirds. This resulted in three groups of ratings of similar size: high, moderate and low. The percentages in the table are colour-coded according to these categories: high/green (more than 50 per cent); moderate/blue (about 34 per cent to about 49 per cent); low/yellow (up to about 33 per cent). Therefore, a 'low' rating indicates that fewer teachers considered the intervention to be effective.

Table 11 Trial school lead teachers' views on the effectiveness of in-school interventions for pupils at risk of permanent exclusion

In-school interventions	% in place	N in place	% rated effectiveness as 4 or 5 (positive)			
			Exclusions	Attendance	Attainment	Behaviour
Anti-bullying	90	57	58	58	47	61
Behaviour management	90	57	77	63	60	68
Inclusion/learning support units/rooms	90	57	91	70	63	75
Anger management	89	56	48	43	27	55
Teaching assistant	89	56	46	32	57	55
Behaviour support	87	55	73	51	54	71
Counselling	86	54	46	44	31	39
Revised school timetable	86	54	85	68	48	80
School–home liaison	81	51	61	63	53	49
Transition support from primary school	81	51	69	61	53	63
Collaborative provision with other schools	75	47	66	57	34	49
Inclusion coordinator	75	47	87	66	60	77
Time-out provision	75	47	64	47	28	49
School nurse	73	46	20	22	13	20
Restorative approaches	70	44	57	41	36	59
Family support workers	57	36	47	53	28	28
SEN advisory teacher	57	36	58	33	47	50
Learning mentors	52	33	61	42	61	61
Key workers	49	31	55	58	42	58
School-led, off-site academic provision	40	25	68	60	40	60
Therapeutic activity-based interventions (e. g. art, music and drama therapy)	24	15	47	40	27	40
Family therapy	21	13	31	15	15	15

Ratings based on lead teacher survey responses in relation to the academic year 2012–13. Table based on 63 evaluation trial schools completing a lead teacher questionnaire during the summer term 2013.

Key - proportion of respondents rating as 4 or 5	
	More than half
	Between a third and a half
	Less than a third

Most ratings in the table are green or blue, illustrating that either more than half (green) or between a third and a half (blue) rated them positively. The following in-school provision was considered most effective:

- **Preventing exclusions** (more than 80 per cent rating positively): learning support units, inclusion coordinator, revised school timetable
- **Improving attendance** (more than 65 per cent rating positively): learning support units, revised school timetable, inclusion coordinator
- **Improving attainment** (60 per cent or more rating positively): learning support units, behaviour management, inclusion coordinator, learning mentors
- **Improving behaviour** (more than 75 per cent rating positively): revised school timetable, inclusion coordinator, learning support units.

Clearly, learning support units, inclusion coordinators, and revised school timetables were considered effective. However, these interventions were not always those most often in place, and those most often in place were not always the most effective. For example, around 90 per cent of trial schools had anger management provision and teaching assistants in place, yet these were not rated as effective as other provision. In contrast, inclusion coordinators, learning mentors and off-site academic provision were less often in place, yet were rated as being effective. Moreover, as was the case prior to the trial, teachers did not rate interventions as universally effective. They rated interventions differently according to outcomes. However, learning support units, inclusion coordinators, behaviour management, transition support from primary to secondary school, and behaviour support were rated as effective by more than half of the teachers surveyed in trial schools for all outcomes. These findings emphasise the importance of schools monitoring the effectiveness of interventions and focusing support as effectively as possible.

There were some observable differences in views between trial and comparison schools on effectiveness (although these were not tested for significance due to the small proportion of comparison schools represented[2]):

- Comparison teachers were *less* positive about the effectiveness of learning support units for reducing exclusions (78 per cent compared with 91 per cent in trial schools) or for improving behaviour (65 per cent compared with 75 per cent in trial schools)
- Comparison teachers were *less* positive about the effectiveness of transition work with primary schools on reducing exclusion (38 per cent compared with 67 per cent in trial schools), improving attendance (34 per cent compared with 61 per cent) or improving behaviour (52 per cent compared with 63 per cent)

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[2] There were only 29 lead teachers in comparison schools represented. The number of comparison schools with provision in place was therefore often lower than 29 and the number responding to each subcategory or rating category will have been even lower. We only looked at differences between trial and comparison schools if 20 or more comparison schools had provision in place, but could not undertake robust analysis to comment on statistical difference.

- Comparison teachers were *more* positive about time-out provision for enhancing attainment (45 per cent compared with 28 per cent in trial schools) or behaviour (65 per cent compared with 49 per cent)

5.2 Alternative Provision

5.2.1 How many types of AP were used by schools?

When presented with a list of 16 types of AP, the number being used in the academic year 2012–13 ranged across trial and comparison schools from zero to 14, with a mean of six (in both trial and comparison schools). There were no significant differences in the total *number* of types of AP used between trial and comparison schools.

5.2.2 Which types of AP were most commonly used?

Table 12 presents information on the *type* of AP in place in trial and comparison schools to support pupils at risk of permanent exclusions, both at baseline in the academic year 2011–12 (prior to the trial) and then in 2012–13, based on responses from lead teachers.

There were two statistically significant differences between trial and comparison schools in relation to the types of AP used in 2012–13. The percentage of trial schools sending pupils to spend time in another school was significantly higher than that of comparison schools (59 per cent and 34 per cent; due to a greater increase in this type of provision over time in trial schools), as was the percentage of trial schools using additional services provided by the LA, such as traveller education support service or the Looked-After Children (LAC) team (49 per cent compared with 28 per cent; but due to a decrease in this type of provision in comparison schools since 2011–12, rather than an increase over time in trial schools). Specialist support such as CAMHS and PRUs remained the most common type of AP in place in both groups of schools.

Table 12 Alternative Provision in place

Alternative Provision	Baseline trial group 2011–12		Baseline comparison group 2011–12		Round 2 trial group 2012–13		Round 2 comparison group 2012–13	
	% in place	N in place	% in place	N in place	% in place	N in place	% in place	N in place
Specialist support, e.g. CAMHS	71	35	76	32	81	51	76	22
PRU	61	30	76	32	67	42	76	22
Individual work placements	55	27	43	18	60	38	65	19
Time spent in another school	41	20	29	12	59	37	34	10
Additional services provided by the LA, e.g. Traveller Education Support Service, LAC team	43	21	48	20	49	31	28	8
Time spent in FE college, either full or part time	43	21	40	17	49	31	41	12
Activity-based provision, e.g. creative arts, sports clubs	*	*	*	*	38	24	34	10
Private sector organisations, e.g. offering learning and training opportunities	29	14	31	13	32	20	21	6
Youth work organisation	20	10	19	8	24	15	24	7
Independent specialist providers, e.g. behavioural or developmental difficulties	16	8	24	10	22	14	28	8
E-learning provision	18	9	12	5	21	13	14	4
Home tuition service	18	9	26	11	21	13	21	6
Training provider	33	16	17	7	21	13	24	7
Voluntary and third sector organisations	20	10	19	8	21	13	10	3
Hospital school	18	9	14	6	19	12	14	4
Sports clubs, e.g. boxing academy, football club	14	7	24	10	17	11	34	10
Total N		**49**		**42**		**63**		**29**

Added in the second survey, so no baseline data was available

The PPF also asked teachers to select up to five types of AP in place for each individual pupil they had listed as at risk in 2012–13 (a total of 455 pupils, including 309 who were originally listed in the PPFs at baseline and who were still at risk, as well as 146 pupils who had been added to the at risk list). Specialist support was most widespread (see Table 12 above) and was often received by pupils, although less so in trial schools than comparison schools (Table 13 below). This type of provision was not seen as the most effective (see section 5.2.3). Some of the AP reported as widespread was targeted at small proportions of pupils, such as work placements. The shading in the table indicates any significant differences between the groups in the proportion of pupils targeted for this type of provision. In particular, a quarter (24 per cent) of pupils at risk of exclusion in trial schools, compared with ten per cent in comparison schools, had engaged with PRU provision.

Table 13 Proportion of pupils at risk receiving types of AP

	Trial pupils at risk 2012–13 %	Comparison pupils at risk 2012–3 %
Additional services provided by the LA, e.g. Traveller Education Support Service, LAC team	2	10
E-learning provision	2	0
Home tuition service	1	2
Individual work placements	3	4
Independent specialist providers, e.g. behavioural or developmental difficulties	6	1
PRU	24	10
Private sector organisations, e.g. offering learning and training opportunities	2	7
Specialist support, e.g. CAMHS	12	25
Sports clubs, e.g. boxing academy, football club	0	6
Time spent in another school	12	11
Time spent in FE college, either full or part time	4	1
Training provider	4	2
Youth work organisation	3	2
Voluntary and third sector organisations	4	5
Activity-based provision, e.g. creative arts, sports clubs	8	3
Other	3	4
Total N	291	164

5.2.3 The effectiveness of AP

The following AP was considered most effective by lead teachers in trial schools (see Table 14):

- **Preventing exclusions** (more than 75 per cent rating positively): training provider, private sector organisations, time spent in FE college, and work placements
- **Improving attendance** (more than 65 per cent rating positively): work placements, private sector organisations, and training providers
- **Improving attainment** (more than 45 per cent rating positively): PRU, time spent in FE college, and training providers
- **Improving behaviour** (more than 60 per cent rating positively): private sector organisations, PRU, work placements, and training providers

The types of provision deemed most effective were not always most commonly in place. For example, training providers were only involved in AP in 21 per cent of trial schools. Moreover, the AP most often in place (specialist support; CAMHS) was rated positively by less than a third of all lead teachers in trial schools for all four outcomes in Table 14. As for in-school provision, these findings emphasise the importance of schools monitoring the effectiveness of AP and focusing support more effectively.

Moreover, as was the case prior to the trial, some types of AP were rated differently depending on the outcome. For example, work placements were rated positively for improving exclusions, attendance and behaviour but less so for raising attainment. The findings were similar for the involvement of private sector organisations. In fact, the only AP rated positively by more than half of the teachers in trial schools for impact on attainment was the PRU. This is a marked difference compared with the previous survey, when 23 per cent of teachers across trial and comparison schools rated PRUs effective for raising attainment (this time, 60 per cent of teachers in trial schools did so compared with 37 per cent in comparison schools, as mentioned above).

Clear patterns emerged from this analysis with similar types of AP seen as most effective for all outcomes. The only observable difference between trial and comparison schools was that trial schools were more positive about the effectiveness of PRUs for improving attainment (60 per cent compared with 37 per cent of comparison schools). At the time of the first survey, when trial schools were commenting on provision prior to the trial, comparison schools were more positive than trial schools about the effectiveness of PRUs on attainment.

Table 14 Trial school lead teachers' views on effectiveness of AP for pupils at risk of permanent exclusion

Alternative Provision	% in place	N in place	% rated 4 or 5			
			Exclusions	Attendance	Attainment	Behaviour
Specialist support, e.g. CAMHS	81	51	25	12	8	20
PRU	67	42	71	63	60	68
Individual work placements	60	38	76	71	29	63
Time spent in another school	59	37	65	62	38	43
Additional services provided by the LA, e.g. Traveller Education Support Service, LAC team	49	31	55	42	29	35
Time spent in FE college, either full or part time	49	31	74	64	48	55
Activity-based provision, e.g. creative arts, sports clubs	38	24	54	58	29	54
Private sector organisations, e.g. offering learning and training opportunities	32	20	75	70	30	70
Youth work organisation	24	15	47	40	20	33
Independent specialist providers, e.g. behavioural or developmental difficulties	22	14	71	50	21	43
E-learning provision	21	13	38	31	38	38
Home tuition service	21	13	69	38	23	54
Training provider	21	13	77	69	46	61
Voluntary and third sector organisations	21	13	38	23	23	23
Hospital school	19	12	33	42	42	42
Sports clubs, e.g. boxing academy, football club	18	11	36	36	36	36

Ratings based on lead teacher survey responses in relation to the academic year 2012−13. Table based on 63 evaluation trial schools completing a lead teacher questionnaire during the summer term 2013.

Key - proportion of respondents rating as 4 or 5	
	More than half
	Between a third and a half
	Less than a third

5.2.4 Why do schools use AP?

Lead teachers were asked the reasons for using AP for pupils at risk of permanent exclusion in addition to, or instead of, in-school provision. There had been a shift in responses since before the trial commenced, as can be seen in Figure 6 below. Initially lead teachers in trial and comparison schools were most likely to say that they used AP because it was in some way different to the school. This changed to a greater focus on the positive impact on pupils. In response to this open question, 67 per cent of teachers in trial schools and 59 per cent in comparison schools made comments relating to the impact on pupils – that AP was motivational, suited the pupils' needs better and was effective for giving them a fresh start. It was still the case that 57 per cent of teachers in trial schools and 45 per cent in comparison schools made comments that related to AP being different from school (less formal, more practical provision), but there had been a shift to focus on the impact on pupils. A substantial proportion of teachers did, however, report more 'negative' reasons for using AP, including lack of in-school capacity, wanting to prevent disruption, and to remove peer pressure.

Figure 6 Why use AP?

Key: Green = positive reasons to use AP; Red = negative focus of AP

Why do schools use AP?
n=92 (Trial T 63, Comparison C 29)

Different to school (T 57%, C 45%) — Less formal environment / More practical/vocational curriculum

Positive impact on pupil (T 67%, C 59%) — Pupils' wishes / Suits needs better / Fresh start for pupil / Motivational

Other positive/neutral (T 8%, C 17%) — Health reasons / To avoid permanent exclusion / Parents'/carers' wishes / To maintain contact with pupil / A reward for good behaviour

Negative focus (T 40%, C 32%) — Capacity/resources / Prevents disruption in school / Highlights seriousness of behaviour / If in-house provision has failed / To remove peer pressure

Other comment (T 2%, C 7%)

5.2.5 Who makes the arrangements for AP?

Amongst LA respondents, some differences were reported between the trial and comparison LAs in the procedures for arranging AP. Seven of the ten respondents representing trial LAs reported that school staff were at least partly responsible for making AP arrangements. However, none of the comparison LAs reported that school staff were involved (although this contradicts findings from lead teachers in schools – see below).

In both trial and comparison areas, LA representatives reported that LA staff were still involved in making arrangements in 80 per cent of trial areas and 96 per cent of comparison areas. In addition, 40 per cent of trial LAs reported that alternative provider staff were at least partly responsible for making the decisions about AP, compared with 21 per cent of comparison LAs.

Despite comparison LAs *not* reporting that school staff were involved in making AP arrangements, lead teachers contradicted this. This may in part be because some LA personnel were responding in terms of all of the schools in the LA, some of which were not participating in the trial. However, it may also indicate a difference in perception of what constitutes involvement in making arrangements. Among those surveyed in trial and comparison schools, it was most often members of the school leadership team who were involved in making arrangements for AP once the decision had been made (86 per cent in comparison schools and 76 per cent in trial schools). This is an increase from 36 per cent and 48 per cent at the baseline survey. Staff with a remit for improving behaviour and inclusion were inevitably still involved (69 per cent and 63 per cent), as were staff with a remit for SEN (45 per cent and 46 per cent). Staff with a remit for AP were only responsible for making arrangements once decisions had been made in 41 per cent of comparison schools and 40 per cent of trial schools. Moreover, only 24 per cent of teachers in trial schools and 17 per cent in comparison schools reported that LA staff had responsibility for making arrangements, despite the substantial proportion of LA representatives having reported so (see above).

Lead teachers were asked an open question about how arrangements for AP were made. Figure 7 shows the people that were reported as being involved in making arrangements and the elements of the process. Just under half of teachers in trial schools involved AP providers in making arrangements (this was less often the case in comparison schools). Pupils and/or their parents/carers helped to make arrangements in 44 per cent of trial and 38 per cent of comparison schools. In terms of process, teachers reported having meetings/discussions about AP, assessing pupils' needs and undertaking formal referrals or submissions.

Figure 7 How were arrangements made?
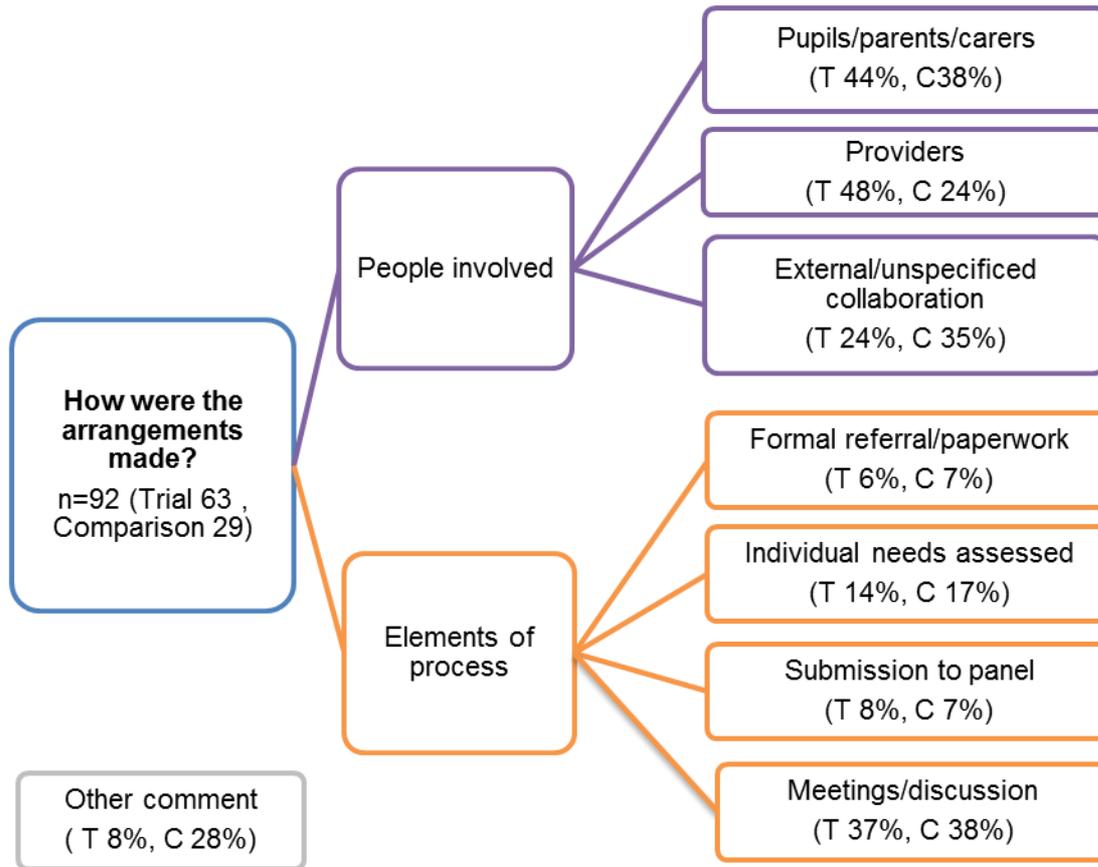
LA representatives made similar comments about how arrangements were made, referring to: collaboration/meetings between LA, schools and AP providers; schools referring pupils directly to an AP (e.g. PRU); use of panels (e.g. Fair Access Panel); individual needs assessments; and school referral to the LA.

5.2.6 Strengths of AP arrangements

Lead teachers were asked to comment, in an open question, on the strengths of their AP arrangement processes. Figure 8 shows that, similarly to the first survey, responses could be categorised into three main groups; collaboration (good relationships with the LA, other schools and providers); references to other strengths of the process (including the efficiency and rigour of the process, good quality assurance, and involvement of pupils and parents); and generally positive comments about the actual provision or its impact on pupils.

Figure 8 Strengths of the arrangement process
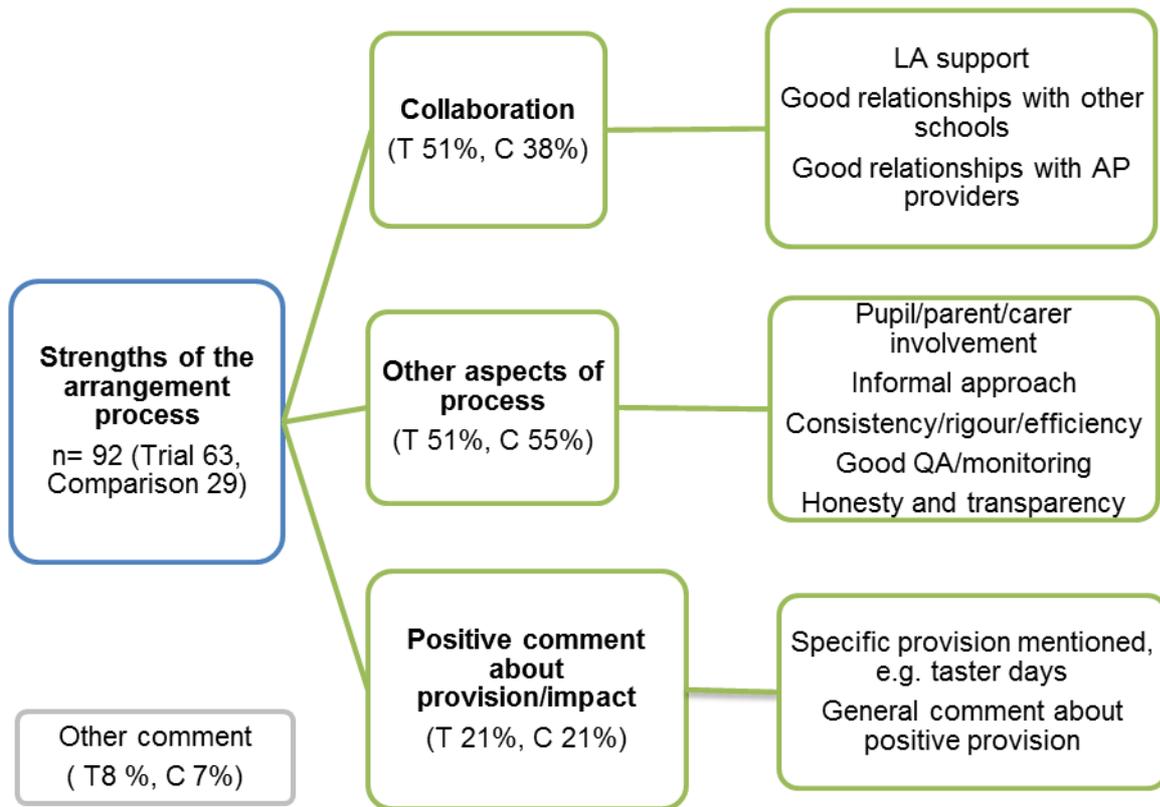
Effective communication/relationships/partnership working was the most reported strength among trial and comparison LA representatives, followed by the strength of timely AP.

5.2.7 Issues arising relating to making arrangements for AP

When asked in the first survey to comment on the weaknesses of the arrangements for AP, comments were categorised into three groups: process; provision; and no issues. In 2012–13, these themes also emerged, as shown in Figure 9. Process issues relating to time, logistics (including timetabling) and costs were mentioned. Issues with provision concerned, for example, limitations of quality control and/or monitoring of AP (also see section 5.2.8 below). Comments relating to other themes also emerged, most often concerning a lack of pupil or parental/carer engagement in AP.

Figure 9 Issues relating to making arrangements for AP
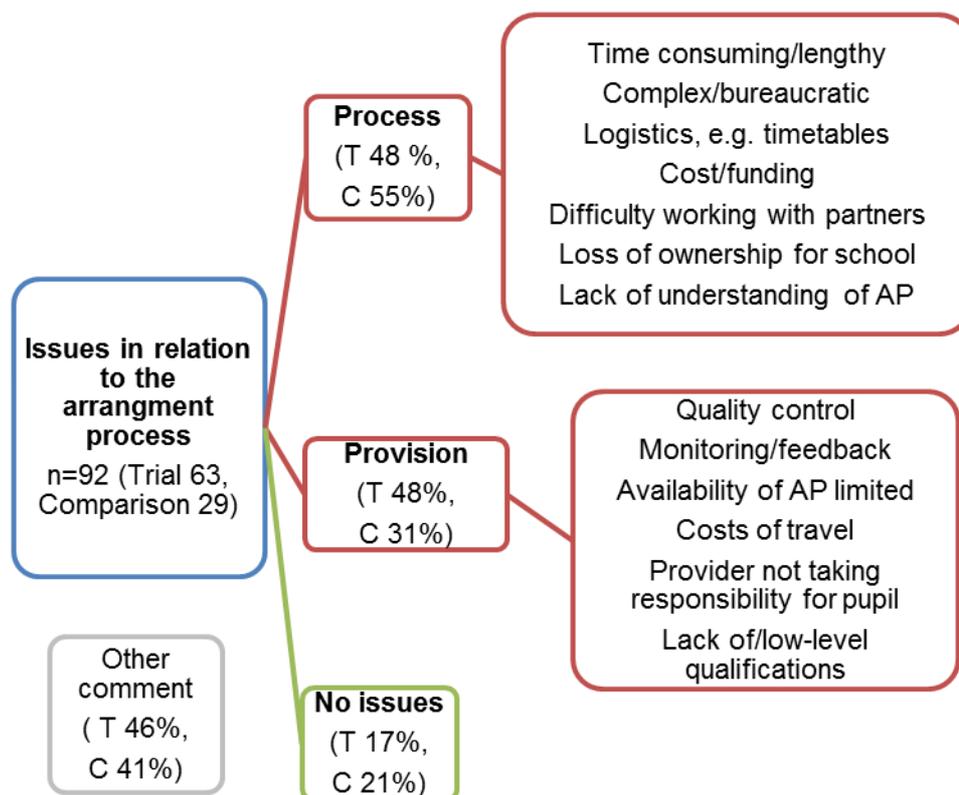
From a trial authority perspective, the most common weaknesses of the arrangement process were reported to be schools' lack of ownership/involvement in arrangements, problems with schools' attitudes towards AP, or AP not being timely enough. Comparison LAs mentioned that the process was not timely and that there was a lack of useful information/data on pupils provided by schools.

5.2.8 How is AP monitored?

Local authority responses revealed a range of approaches to monitoring AP, with some differences between trial and comparison areas. It was common for both groups of LAs to use site visits to providers to monitor AP (80 per cent of trial areas and 82 per cent of comparison LAs). Almost all trial LAs (90 per cent) also used written and verbal communication with providers to monitor AP, compared to a smaller proportion of comparison LAs (68 per cent). Fairly similar proportions of trial and comparison areas had formal monitoring meetings (80 per cent and 71 per cent).Trial LAs were more likely than comparison areas to report using feedback from parents/carers to monitor AP provision (80 per cent and 54 per cent). Similarly, trial areas were more likely to use feedback from pupils (80 per cent and 64 per cent respectively). Trial areas were more likely to monitor databases (70 per cent compared with 57 per cent of comparison LAs). It was less likely for LAs to report using school-led monitoring *in partnership with other schools* (only half of trial LAs and even fewer comparison LAs – only 18 per cent). One

trial LA (10 per cent) and one comparison LA (four per cent) reported no monitoring arrangements in place. Lead teachers in comparison *schools* were more likely to refer to some of the monitoring activities than the comparison *LA* representatives (see below). Table 15 shows arrangements in place for AP reported by *lead teachers.*

Table 15 Arrangements in place for monitoring AP as reported by lead teachers

	Trial %	Comparison %	Total %
A member of school staff with a remit for monitoring	86	87	79
Feedback from parents/carers	67	73	63
Feedback from pupils	70	76	66
Formal monitoring meetings (including LA and multi-agency input)	57	59	53
Monitoring in partnership with other schools	40	31	34
Monitoring of databases	24	28	23
Site visits to providers	75	73	68
Written and verbal communication with providers	81	93	78
No monitoring arrangements currently in place	2	3	2
None ticked	2	3	2
Total	63	29	92

Percentages and totals are based on respondents.

As Table 15 shows, monitoring of AP most commonly involved written and verbal communication with providers (81 per cent in trial schools and 93 per cent in comparison schools). Most teachers in trial and comparison schools (86 per cent and 87 per cent) also reported that a member of school staff with a remit for monitoring was involved in monitoring the AP for pupils at risk of permanent exclusion. Clearly from responses from LAs and senior leaders in schools, it seems that monitoring of databases and monitoring in partnership with other schools were less common than other arrangements.

Lead teachers were asked to comment on the strengths and issues relating to the monitoring arrangements discussed above. Similar themes emerged as had been the case when asked in the first survey. Comments were categorised into three groups: process (including effective data sharing and tracking); collaboration (such as good communication with providers); and positive impact (including helping to identify pupils' problems early and helping with reintegration). In 2012–13, these themes also emerged, as shown in Figure 10. 'Other' comments were general or too vague to categorise. Comments from LA representatives in trial and comparison areas most often related to the benefits of data sharing between schools and AP providers.

Figure 10 Lead teachers' views on strengths of monitoring
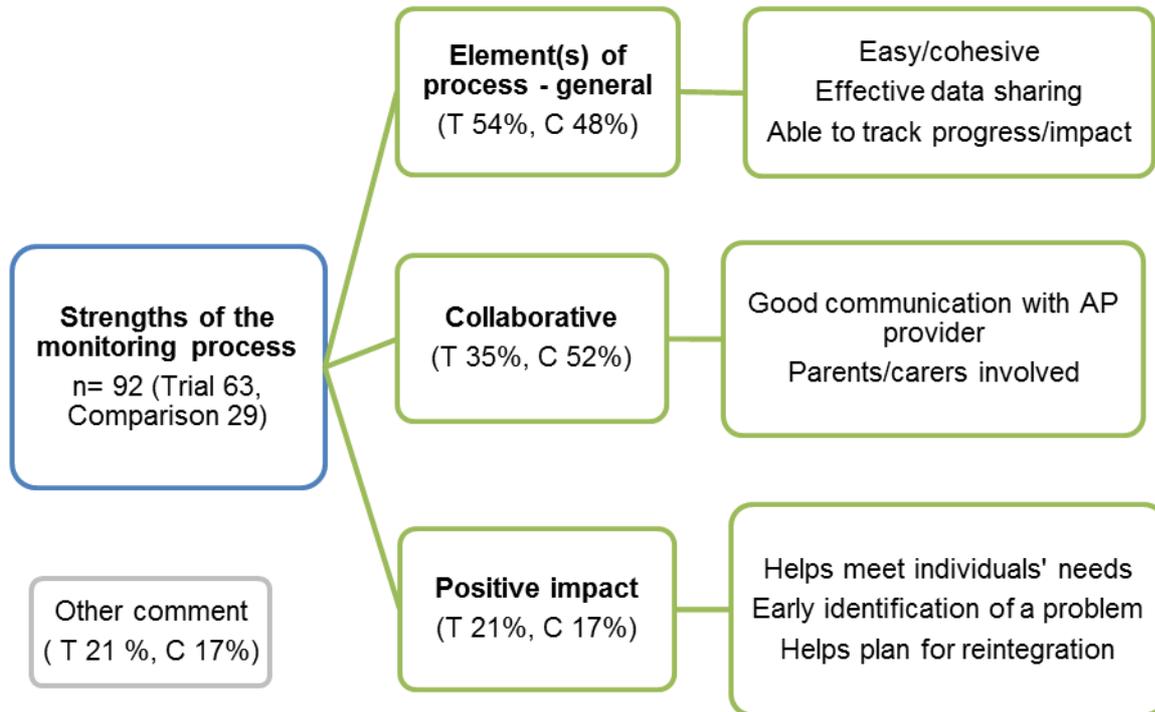
Issues with monitoring arrangements reported in 2012–13 could also be grouped in the same way as for the previous survey: data – general; data – specific; and other issues with process (see Figure 11). Most comments related to process in general, including that monitoring procedures varied across providers and that there was a lack of capacity for monitoring. The most common issues mentioned by trial and comparison LAs were that monitoring was not consistent/robust enough across providers and that schools should be more involved/engaged.

Figure 11 Lead teachers' views on issues relating to monitoring arrangements

Issues relating to the monitoring process
n= 92 (Trial 63, Comparison 29)

Data – general
(T 11%, C 17%)

Data not used effectively
Data not detailed/rigorous

Data – specific aspect
(T 5%, C 21%)

Attendance data not timely
Poor quality/quantity of attainment data

Other issues with process
(T 56%, C 45%)

Lack of capacity
Consistency of process varies by provider
Communication issues
Costly
Process not sufficiently organised

Other comment
(T 14%, C 7%)

6. Characteristics of the pupil sample

This chapter reports on the sample of pupils in the evaluation schools deemed 'at risk of exclusion' by their schools. Although the sample of schools for the evaluation is smaller than originally envisaged, this quantitative analysis of pupils identified as at risk of exclusion is nevertheless unique. It gives the first insights into the quantifiable characteristics of the pupils who are actually subject to concern within their schools (in contrast to analyses based on the statistical probability of exclusion). The pupil profile form (PPF) collected data on the reasons for the schools' decision to place pupils on the list and ratings of their behaviour, attendance, engagement and attainment. By linking to the National Pupil Database (NPD), it was also possible to analyse the background characteristics of these pupils.

6.1 Pupils at risk of exclusion

In the final data collection, the PPF was sent only to schools where a PPF had been completed in the first phase. The details of pupils who were previously listed on the PPF were prepopulated and lead teachers were asked to update the information and to add any new pupils to the list. Pupils were placed on the at risk list according to schools' own criteria, determined by their policies.

There were a total of 985 pupils listed on the PPFs for the second round, but 56 of these had incomplete or contradictory information, so were not able to be included in all of the analyses. Of the 985, 677 were in trial schools and 308 in comparison schools. The average number of pupils per school was approximately 14 for both groups, so overall the numbers involved were small. These averages were broadly comparable with those listed in the first year of the evaluation. Table 16 summarises the breakdown of pupils in the 2013 PPF data collection.

Table 16 Summary of pupils on 2013 PPF

	Trial		Comparison	
	N	%	N	%
Still in school				
- at risk	214	32	95	31
- no longer at risk	168	25	65	21
Left school				
- year 11	108	16	25	8
- other	98	14	47	15
Newly added				
- on roll previously (newly at risk)	59	9	29	9
- not on roll previously (new to school)	18	3	3	1
Missing or contradictory data	12	2	44	14
Total	677	100	308	100

Due to rounding, percentages may not sum to 100.
Source: Pupil profile form.

The first noticeable feature of the final data collection was the extent of change from the first phase of the research: only 308 pupils (214 trial and 95 comparison) of the 985 were listed as at risk on both occasions. Table 16 also shows that some pupils previously deemed at risk were no longer in school, either because they had completed year 11 or had left the school for other reasons. Others were still in school, but no longer at risk, suggesting that the provision they had received was effective. The following sections describe each sub-sample of pupils: those remaining at risk, those who were added to the list and those who had been removed from it.

6.2 Characteristics of pupils currently deemed at risk

Background characteristics

The sample of pupils identified at risk, in the final year of the evaluation, consisted of those listed in the first year who continued to be deemed at risk of exclusion, together with those newly added. (It thus excluded those previously at risk but no longer at risk or no longer in school.) Table 17 summarises the characteristics of 474 pupils who were currently deemed at risk, in trial and comparison schools. Of these, 309 were also deemed at risk in the initial data collection and 165 were added in the final data collection. However, complete data was not available for all of these pupils. Statistically significant differences between the trial and comparison schools are shaded.

Table 17 Pupils currently deemed at risk of permanent exclusion by schools

	Still at risk		Newly added		Total in school	
	Trial	**Comparison**	**Trial**	**Comparison**	**Trial**	**Comparison**
Number of pupils	214	95	89	76	39453	16982
Boys	82%	79%	76%	74%	50%	49%
Girls	18%	21%	24%	26%	50%	51%
Free school meals (FSM)	41%	36%	42%	32%	13%	16%
Non-FSM	59%	64%	58%	68%	86%	83%
Statement of Special Educational Needs (SEN)	9%	13%	4%	3%	2%	2%
School Action/Plus	60%	61%	46%	54%	19%	22%
Non-SEN	31%	26%	50%	43%	79%	75%
English as an additional language (EAL)	1%	10%	3%	22%	4%	11%
Non-EAL	99%	90%	97%	78%	96%	89%
White – British	96%	75%	97%	72%	93%	79%
White – Other	0%	2%	0%	4%	2%	3%
Gypsy/Roma	0%	0%	0%	1%	0%	0%
Mixed	2%	8%	3%	7%	2%	4%
Asian – Indian	0%	0%	0%	1%	1%	5%
Asian – Pakistani	1%	8%	0%	10%	0%	5%
Asian – Bangladeshi	0%	0%	0%	0%	0%	0%
Asian – Other	0%	0%	0%	0%	0%	1%
Black – Caribbean	0%	5%	0%	0%	0%	1%
Black – African	0%	0%	0%	1%	0%	1%
Black – Other	1%	0%	0%	0%	0%	0%
Chinese	0%	0%	0%	0%	0%	0%
Other	0%	1%	0%	1%	0%	1%
Refused	1%	0%	0%	0%	0%	0%
Average key stage 2 level	3.56	3.52	3.64	3.81	4.15	4.07

Source: Pupil profile form

Based on responses for 309 and 165 pupils respectively; numbers for some analyses vary because of missing data. Because of rounding, percentages may not sum to 100

Based on all schools which returned a PPF in the final round of data collection

Table 17 shows that the characteristics of the pupils newly added to the list were similar to those already deemed at risk. They were much more likely to be boys than girls, were unlikely to have achieved National Curriculum Level 4 at the end of primary school, and had a relatively high likelihood of being eligible for FSM. A high proportion of them had an identified SEN, though in most cases this was met through School Action or School Action Plus; only a small proportion had statements. There was an observable difference in this respect between pupils previously deemed at risk and those newly added. A smaller proportion of pupils newly deemed at risk had

SEN than those already on the list, in both trial and comparison schools. This may be indicative of a shift in schools' perceptions of what it means to be at risk of exclusion; however, the numbers are too small to reach such a conclusion with any certainty.

Across the trial schools there was limited evidence of the relationship between permanent exclusion and particular groups of young people (see Chapter 7). In the case studies, most respondents to the interviews felt that different groups of young people were not disproportionately excluded within their schools. One LA lead commented that there were a number of young people with mental health needs while also drawing attention to the number of changes that were taking place in relation to SEN, including the new code of practice and the new funding arrangements – the majority of which was kept in schools.

There continued to be some differences between trial and comparison samples in terms of the ethnic mix of the at risk pupils and the proportion with EAL. This reflected the situation described in the interim report. In the first year of the evaluation, the comparison schools were found to have a higher proportion of minority ethnic pupils overall, but also to identify more of these pupils as at risk of exclusion than would be expected from the overall proportions. For pupils newly added to the list, the difference between trial and comparison schools was noticeable, but was not statistically significant.

Reasons for children being at risk of exclusion

An analysis was made of the reasons given by lead teachers for adding new pupils to the list of those deemed of being at risk of exclusion. The reasons related to factors within school and outside school. Poor behaviour in school was the most frequent in-school reason, with over 90 per cent in both trial and comparison schools citing it; this reflects the findings from the baseline data collected in 2012. There were no statistically significant differences in terms of the in-school reasons given for pupils being identified as being at risk of exclusion between trial and comparison schools.

The trial schools, however, were significantly more likely to identify the home situation as a reason for concern than the comparison schools (45 per cent against 15 per cent). Conversely, the comparison schools were significantly more likely to cite other agency involvement or health issues including substance misuse as reasons for identifying a risk of permanent exclusion (28 per cent against 24 per cent and 24 per cent against 14 per cent, respectively). A similar pattern was observed in the base line data collected in 2012. These differences were statistically significant, but the sample size is small.

Findings from the case studies and interviews indicated that trial schools were aware of how essential parental/carer engagement was in relation to the experiences of young people at risk of exclusion and also for young people in AP.

> *The work we've done with parents has been crucial to the success of the key centre (in-house AP). When we set the place up we got them all to come in, we walked them around and they became part of the environment as well. If we've got any issues we'll call them in and they'll have a meeting with one of the key workers.* (Deputy head)

Many schools adopted a holistic approach to working with vulnerable pupils:

> *We support the families very well. If a child is referred to us, it comes as a package with the whole family. A big issue that is emerging is hardship… Relationships with the parents are crucial – a lot of the parents are quite vulnerable as well, so the cross pathway of attendance and welfare will really help connect everything together.* (Headteacher)

In the same school the headteacher spoke of supporting a parent in beginning evening classes to undertake a teacher assistant course in the school. The mother, who had been successful in attaining the qualifications, was now volunteering at the school. Previously the mother and her daughter had experienced domestic violence. The key for the school had been to move both the mother and daughter forward and help undo the damage that had been done.

Ratings of behaviour, attendance and engagement

The lead teachers gave ratings relating to the behaviour, attendance and engagement with school of pupils at risk of exclusion. The proportions rated 'poor' or 'very poor' on each of these measures are presented in Figure 12 in a way that allows comparisons between those newly at risk and still at risk, and between trial and comparison samples.

Figure 12 Combined 'poor' and 'very poor' ratings of behaviour, attendance and engagement

There was a statistically significant difference between trial and comparison schools for those pupils newly deemed at risk of permanent exclusion. These pupils were more likely to have poor attendance in the comparison group and more likely to have poor engagement with school in the trial group. There was also an observable difference in the behaviour ratings between these two groups, though this was not statistically significant.

The behaviour ratings of those pupils who were deemed at risk in the first year of the trial were more positive than those newly deemed at risk. This may suggest that the support and intervention provided for those pupils deemed at risk a year earlier had led to improvement in their behaviour. To explore this further, a separate analysis was made of those pupils for whom ratings were available at both time points. Because of missing data, the sample available for this analysis consisted of 176 pupils, 131 in trial schools and 45 in comparison schools. This showed a significant improvement in the behaviour ratings from one year to the next of those pupils deemed at risk of exclusion at the earlier time point, suggesting the effectiveness of schools' provision for these pupils over this period. The improvement was observed in both trial and comparison schools. When these were considered separately, the improvement in comparison schools was statistically significant, whereas that in trial schools did not quite reach statistical significance. The case-study evidence showed

that if interventions and support were appropriate, then improvements in behaviour resulted (see Box 6.1 and Appendix 1, Illustrative example 2).

Box 6.1: Early intervention, exclusion-prevention programme

In one LA an off-site intervention programme had been designed for pupils at risk of permanent exclusion. The bespoke curriculum was based on humanistic psychology, transactional analysis and neuro-linguistic programmes. The programme was about *'just getting them to think and act and to understand how they think and act'.*

Following its first year of operation, staff reported a 92 per cent success rate in terms of preventing the permanent exclusion of these pupils identified as being at risk. Attendance at the programme was good – approximately 95 per cent. Tracking of pupils who had completed year 11 at school showed that none had left school or been classified as NEET.

> *We teach them to understand and take control of their behaviour and that then supports how they see and deal with other things, like attendance and attainment. Pupils, take responsibility for their own behaviour, stop blaming everyone else and take control back, raise their aspirations and goals in life.*

6.3 Pupils no longer at risk of permanent exclusion

The PPF analysis revealed a total of 233 pupils who were still in school but no longer regarded as at risk of permanent exclusion, 168 in trial schools and 65 in comparison schools. The background characteristics of this group broadly reflected those of other pupils in trial and comparison schools.

Teacher ratings of behaviour, attendance and engagement with school were, as might be expected, more positive for this group than those for pupils still deemed to be at risk. Figure 13 shows the proportions rated 'poor' or 'very poor' in each respect. No statistically significant differences between trial and comparison schools emerged from this analysis.

Figure 13 Combined 'poor' and 'very poor' ratings of behaviour, attendance and engagement
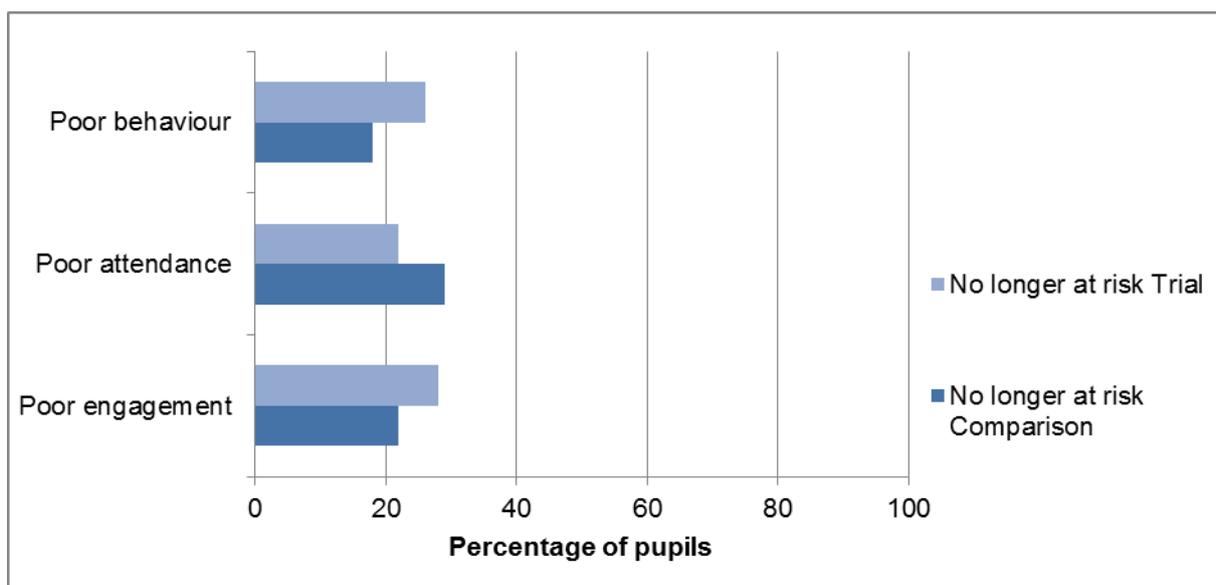
Overall, the analysis reported here and in the previous section confirms that schools' judgements of pupils' risk of exclusion are reviewed regularly and often adjusted, with pupils quite likely to be removed from or added to the list from one year to the next. It also suggests that the provision for pupils deemed at risk of permanent exclusion is quite often effective, to the extent that they can be removed from this category.

6.4   Pupils who have left the school

Some pupils listed on the PPF in the first year of the evaluation were no longer in school. Their destinations were of interest and they have been included in the PPF total. Some of these were pupils who had reached the end of year 11 and left school, while others had left the school for other reasons. Table 18 sets out the available data about the destinations of pupils no longer attending the evaluation schools. Numbers are given rather than percentages as the numbers for whom information is available are small. Table 18 includes data provided by NPD to track the destinations of specific pupils to match those previously listed on the PPF who were no longer in the original schools.

Table 18 Previously at risk pupils who have left the school

	Trial	Comparison
Total number of year 11 leavers	108	25
Education/training (including jobs with training)	15	6
Job without training	1	0
Not in education, employment or training (NEET)	4	0
Data unavailable	88	19
Total number of other leavers	98	47
Permanent exclusion	12	17
Managed move out	25	9
On roll of another (mainstream) school	20	19
On roll of a special school	11	2
Other education setting*	2*	0
Data unavailable	28	0

Source: Pupil profile form
* One of these is on the roll of a PRU, one being home educated

6.5 Managed moves

The PPF asked specific questions about the use of managed moves for each pupil listed: first, whether the pupil had been subject to a managed move into the school; and second, whether the pupil was being considered for a managed move out. Figure 14 shows the responses to these questions.

Figure 14 Use of managed moves
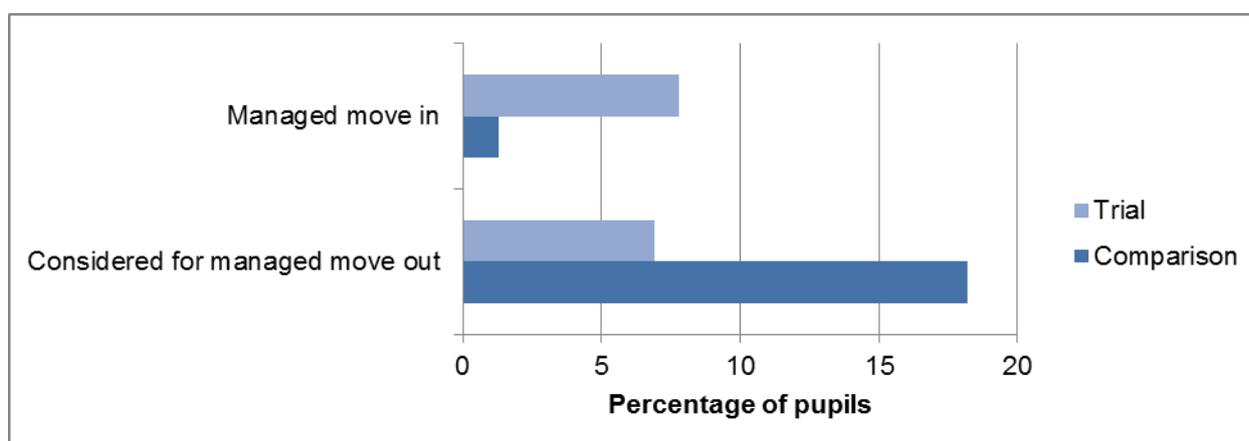
Source: Pupil profile form

Based on responses for 53 pupils subject to managed moves in and 103 pupils considered for managed moves out

Although the numbers of pupils subject to managed moves in either direction were small, the analysis revealed statistically significant differences between trial and comparison schools for both questions. Trial schools accepted a significantly higher proportion of pupils as the result of managed moves, and had significantly fewer pupils under consideration for moving out, than comparison schools.

Findings from the interviews and case studies drew attention to increased transparency and more rigorous processes in the use of managed moves in trial schools (see Chapter 4). In particular, this related to collaborative ways of working where professionals including headteachers would meet on a regular basis to consider the appropriate support for young people. In one area partnership, managed moves were seen as the first course of action where there had been problems. Within the partnership, headteachers agreed between them to take a pupil in a managed move. Initially this would be for a six-week trial. If the first six weeks were successful then there would be a further six weeks with a review. If this was also successful the pupil would remain in the new school. As all headteachers were involved in the discussions about managed moves, everyone was aware of which schools had taken pupils: this in itself increased accountability.

7. Pupil outcomes

The first section of this chapter examines the measurable outcomes for pupils at risk of exclusion in trial and comparison schools. It combines those deemed at risk of exclusion within school (listed on the PPF) and those who, because of a combination of background factors, have a higher statistical probability of exclusion. The outcomes of interest are school attendance, exclusion from school and attainment at key stage 3 and key stage 4.

The second section of this chapter explores pupil outcomes based on the findings from the case studies and interviews.

7.1 Attendance, exclusions and attainment

In order to explore key outcomes (listed below) for pupils at risk of exclusion, a statistical technique called multilevel modelling was adopted (see Appendix 2 for technical details). This allows the hierarchical structure of the data to be taken into account and produces more reliable results (i.e. pupils were clustered in schools and the trial was administered at the school level). Multilevel modelling enables an exploration of changes in outcomes over time and controls for measured differences between trial and comparison groups (some differences will exist as schools were not randomly assigned to each group). It is necessary to control for measured differences between the groups when trying to determine whether the trial was effective (i.e. isolating any impact of the trial). A full list of the variables controlled for in the models can be found in Appendix 2, including school-level variables (such as school size, type and Ofsted ratings) and pupil-level characteristics (such as gender, ethnicity, receipt of FSM and pupils' previous absence records).

As models included nationally available data, this enabled them to be based on as large a sample of schools (and therefore pupils) as possible. Thus, they included *all* trial schools (not just those in the evaluation; N=164) and *all* comparison schools in the sample (not just those which agreed to participate in the evaluation; N=647). To explore the impact of the trial on *pupils*, the models included those at risk of exclusion in these schools, categorised as such if listed in the PPF or if they were predicted to be at risk based on an analysis of historic data i.e. they were 'statistically at risk' (defined in the interim report[3]). Table 19 shows the numbers of pupils at risk of permanent exclusion. To only base the models on pupils identified as at risk on the PPF would have been too restrictive. Note though that the number of pupils included in each model varies according to the outcome being measured (see Table 19 below).

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[3] Available at: https://www.gov.uk/government/publications/evaluation-of-the-school-exclusion-trial-first-interim-report

Table 19 Pupils at risk in trial and comparison schools

Number of pupils	At risk in all trial schools	At risk in all comparison schools	Total
Statistically at risk	9,334	45,573	54,907
Of whom were on the PPF	669	336	1,005*

*Note that PPF analysis reported in Chapter 6 was based on a total of 985 pupils rather than 1,005 as there were 20 pupils listed in the PPF (name and unique pupil number) for which no additional information was given to include in the analysis, although these were included in the models based on nationally available data.

The *average* number of pupils at risk overall in a school, even after combining those listed on the PPF and the statistically at risk, was relatively small (seven in trial schools and eight in comparison schools).

The **outcomes of interest** were:

- **Attainment**
  - key stage 3 average point score
  - key stage 4 total point score and the number of Level 1 (A*-G) and Level 2 (A*-C) GCSE examination passes
- **Exclusions**[4]
  - number of fixed-period exclusions
  - length of fixed-period exclusions
- **Absences**
  - whether persistently absent or not
  - number of unauthorised absences.

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[4] Numbers of permanently excluded pupils were too small to model.

Table 20 shows the number of pupils included in the relevant models.

Table 20 Pupils at risk* included in the models

Model	All trial schools	All comparison schools	Total
Key stage 3 attainment	2,087	9,829	11,916
Key stage 4 attainment	1,750	8,284	10,034
Fixed-period exclusions	9,334	45,573	54,907
Absences	9,334	45,573	54,907

*At risk includes those listed on the PPF and the statistically at risk

The models revealed that there was *not* a statistically significant difference between trial and comparison pupils at risk of permanent exclusion in relation to any of the outcomes listed above. Further, there were no statistically significant differences specifically related to being identified on the PPF by the school. It may be that it is too early to be able to detect an impact of the trial on such outcomes. Models were based on data collected in administrative datasets and available just one year after the start of the trial. It is possible that the impact of any changes in approach, in particular on attainment, may be seen on a longer timescale. Alternatively, the lack of significant differences could reflect that comparison schools were adopting similar approaches to trial schools due to wider changes affecting the school system as a whole.

The models did reveal significant associations between other variables and the outcomes of interest. It was important to include these in the models, as despite being selected to be as similar as possible, there are inevitably differences between the trial schools and the comparison schools. By taking account of differences, in the characteristics of the pupils and also of the schools, we separated the effect of the trial which might be masked by any unequal composition of the two groups of schools.

In general across the suite of models, in line with other research, prior attainment was significantly positively related to attainment outcomes. At risk pupils with English as an additional language (EAL) or of Asian ethnicity on average had higher levels of attainment, while pupils categorised as having SEN (School Action or School Action Plus), who are eligible for FSM, or with higher levels of IDACI (a measure of deprivation), tended to have lower attainment.

Among the pupils at risk of permanent exclusion, on average, female pupils had lower attainment than male pupils, measured in terms of key stage 4 total point score, number of GCSE passes at Level 2 and key stage 3 average point score. This is interesting, as overall girls tend to perform better than boys. Pupils who (before the trial) had been excluded more (in terms of number of fixed permanent exclusions and the length of exclusions), had lower achievement, while pupils overall in schools that (before the trial) had higher rates of exclusions, had higher attainment.

In terms of absences and exclusions, in general, at risk pupils in minority ethnic groups (non-white British) were excluded and absent less frequently, older pupils at risk had higher absentee and exclusion rates, and at risk pupils eligible for FSM and those with a higher IDACI measure of deprivation had higher absentee and exclusion rates. At risk pupils with SEN (School Action or School Action Plus) had a higher exclusion rate, but had lower levels of unauthorised absences. At risk pupils who had been excluded previously tended to have higher absence and exclusion rates more recently (i.e. indicated as such in more recent data). There was no difference between trial and comparison schools; these findings simply indicate characteristics associated with high exclusion and absence rates.

7.2   Pupils' outcomes based on qualitative data

7.2.1 Engagement with education

Many interviewees reported that, overall, outcomes for young people at risk of exclusion were improving. Where young people were accessing in-school provision, strong systems were in place to monitor attendance, attainment and behaviour. Tracking systems were also in place to monitor the destinations of young people after leaving school, AP and/or PRU provision. In some instances, attainment data was not available since not enough young people had yet reached examination age or progressed thought KS3.

As one member of staff from a PRU commented:

> *We track where the pupils go when they leave our provision. This year 89 per cent left with a college or training placement – half a dozen or more are going on to sixth form colleges. Last year retention was far better than in the past.*

The same teacher commented on the additional support that was provided to young people to support their transition from the PRU. This included support for interviews, general help with transition and staff going into college with them for the first few days. Where appropriate they also made links with the counsellor at the FE college. This additional support for transition was seen to be having a positive impact on the retention of young people:

Because in the past we found that too many young people were becoming NEET by November – drop out was too high: 48 per cent retention three years ago, got it up to 78 per cent last year. (PRU headteacher)

In one LA, the personalised combination of interventions in place was perceived to be central to the improvement in outcomes. It was felt that there was a more coherent relationship between different interventions as a result of the approach underpinning SET: pupils' needs were being identified earlier, the school had various strategies to meet these needs in house, including the two specialist centres to support vulnerable young people underpinned by a strong pastoral support structure (see Appendix 1, Illustrative example 8). The school was involved in the managed moves system and was strongly integrated into the behaviour partnership. In addition, targeted packages of AP support were commissioned through the PRU. All of these elements meant that 'pupils are supported to attend school more, behave more appropriately when they are there and are thus better equipped to engage in learning'.

One headteacher spoke of how the school's performance data had benefited from the approach taken with SET. About six years ago, 15 pupils had left school with no qualifications: this amounted to 15 per cent of pupils. Now no pupils from the school left without qualifications. The school had accepted that they had responsibility for these pupils and made sure that they left with some qualifications.

There was also evidence that AP was keeping young people engaged with education who otherwise might have become NEET. One headteacher commented that over the last two years all pupils who had been engaged in an alternative pathway had gone on to employment or training on leaving school. These young people would otherwise have been excluded. None had become NEET.

7.2.2 Attainment

Across many trial schools there had been an increased focus on GCSE attainment, particularly in English and maths, for those in PRUs and AP. One PRU, for example, had added an extra day per week of specific education activities in order to enable the year 11 pupils to gain their GCSEs. These pupils now had three days of specific education activity when previously they had two: the specific focus being on GCSE maths and English.

Within the trial it seemed that the PRUs were taking an increased responsibility to deliver GCSEs.

The trial has raised the game of the PRUs to increase the number of GCSEs that pupils are taking and to make taking GCSEs the norm because the

results go back to the schools. Keeping them on their roll is an incentive. That's why the schools want to use the PRUs because they know that the young people will do GCSEs. (LA lead)

There were some concerns though about whether some private AP providers had sufficient expertise to deliver English, maths and science. In these instances, PRUs were taking the responsibility for this.

A number of the children at the PRU do some work at the PRU and may spend some time on AP – but this is organised by the PRU. The PRU deliver GCSE English and maths. A key issue here is that the private providers do not have expertise in English, maths and science. The quality of the PRU subject offer has become better through the involvement of the secondary heads. [Pupils in the] *PRU are all doing GCSEs and they gain the qualification.* (LA lead)

Some private providers did appear to have sufficient experience coupled with high expectations of the young people to ensure high levels of attainment:

We expect that every learner will leave with a maths, English and ICT qualification. We do expect them to work really hard. (Private AP provider)

There were a few instances where the trial had facilitated a much closer relationship between the academic and vocational curriculum and that off-site providers were heavily involved in functional skills. One headteacher from a PRU explained how maths lessons were now designed around calculating joists and angles; and how in the construction provision they had construction-related words on the walls which encouraged literacy work within construction as well as maths.

In some cases AP providers were focusing more on progression:

The farm provider is, for example, looking at moving students to level 2 when they've completed a course. They are also linking more with colleges to support provision. Now we don't just commission courses from a pastoral care position, we have to show progression. (Assistant headteacher)

Schools and PRUs were seeking a balance between helping young people to achieve GCSEs in core subjects and in providing a wider curriculum offer that would engage them with education:

AP is fully integrated into the timetable, it sits within option blocks. I know that if they are going to do vocational classes then they drop an option but still keep their core subjects. (Assistant headteacher)

Many individual examples were given of pupils who had achieved well through the approaches taken in SET. In one example, a young person came out of the PRU with the equivalent of ten GCSEs including English and maths. Previously he had been excluded from two schools. The Head of the PRU spoke of how 'he's now an apprentice and earning money – he's not a statistic – he's a success.'

In one LA, where pupils had been reintegrated into mainstream schools, data tracking and ongoing communication with schools indicated that pupils' academic performance on their return to school had improved. Ongoing post-reintegration support from project staff was seen as a key element in helping pupils maintain their improved engagement with school.

> *Students who attended cohort one year 9 when we started, they achieved or exceeded their target grades at GCSE when they left, and these were students that schools had identified at risk of permanent exclusion because of behaviour.* (Deputy headteacher)

In the same LA, data tracking of pupils who had attended the intervention programme and had completed year 11 at school revealed that none of them had left school and been classified as NEET:

> *So we get them to engage and attend with us, then that continues on a whole load of levels when they leave us – they either go back into school and get on fine, or might need a bit more support from us, or they go on to other destinations and don't become NEET – they attend somewhere and do something.* (Headteacher)

The combination of education within a PRU and in the mainstream school also seemed to enable young people to achieve:

> *We do get results – there's a girl now who's going to get five GCSEs – and she's doing other things like hairdressing there* [at PRU] *as well. One boy goes to the PRU but comes back here to do GCSE music lessons because the PRU can't offer that on site. Another child comes back to me here to do health and social care.* (Teacher)

There was also evidence of young people progressing to employment. For instance, one young man had attended motor vehicle provision for those post-16. This after he had completed attendance at the LA PRU. He had gone on to secure employment at the provision and was now involved in teaching some of the pupils at the PRU.

Changes in the criteria for the formulation of league tables and 'accepted qualifications' over the period of SET appeared to have had an impact on the qualifications that young people were offered. It also seemed to have made schools

and LAs pay more attention to the value of the qualifications that young people achieved. In one LA a teacher commented:

> *The children who were at risk of exclusion used to be sent to college and were put on entry level courses and actually they were capable of more. Now, because of the provision we have on site the pupils will be able to get the qualifications that they need and what we need as a school.*

7.2.3 Attendance and behaviour

Having appropriate provision for those at risk of exclusion and those in AP had a beneficial impact on attendance and behaviour (see Appendix 1, Illustrative example 2).

> *Students accessing the PRU full time recognise that that they would have struggled to stay in mainstream school given the hoops they'd have had to have jumped through – they recognise that that would be a problem for them but they still value having an education. So attendance is way better than before they went and it is sustained when they're at the provision and also when they return to school.* (Headteacher)

> *The main thing we use AP for is to engage them in mainstream, it's not to get rid of them. We will do short courses where they achieve a qualification in a short period of time. They suddenly realise they can achieve something in six weeks and that has a huge knock-on effect in mainstream. In the food and nutrition course, we take them off timetable, we deliver the course in our Apple Mac room. The course is a mix of life skills plus and it's really effective.* (Assistant headteacher)

The vignette in Box 7.1 captures the experiences of a young male 13-year-old pupil with attention deficit hyperactivity disorder (ADHD) and how attendance at the school on-site provision enabled him to manage his behaviour.

Box 7.1 Managing behaviour through the support of the on-site centre

Rob[5] had been at the on-site provision for two and a half months and received tuition for English, maths and science.

> *In lessons we kept talking and annoying the teachers. I got put on report every day. The school told me that there were two options, I could change schools or go to the on-site provision.*

---

[5] Names of pupils have been changed in this report and are not their real names.

> *I got on well with the teachers when I came here* [on-site provision]. *It's better here because there's not as many people. My friends are allowed over here on Fridays for break and lunch and I go over there for break and lunch sometimes. I prefer it over here.*
>
> *If I get angry now I can calm down. If that happened in main school I'd just walk out and slam the door.*
>
> From the teacher's perspective 'His behaviour points have dramatically reduced. He now takes himself out of the situation which is huge.'

In some schools improvements in behaviour were seen at whole-school level:

> *Attendance and behaviour has improved across the whole school, so Ofsted tell us. It also plays a big part in the wellbeing of the whole school.*

The vignette in Box 7.2 demonstrates how gradual reintegration enabled a young girl with high levels of non-attendance to return to full-time education. At the time of the interviews, this student was in the sixth form and had a clear career plan.

Box 7.2 Continued gradual support to reintegration and improved attendance

> Tina was admitted to the school following difficulties at a previous high school, which culminated in her becoming highly disengaged from school, and exhibiting a high level of non-attendance. The approach taken by the specialist centre in the school was designed to offer a gradual reintroduction to school and education, based on the development of relationships between the pupil, family members and school staff. The following text highlights the parent and headteacher's views of the approach taken.
>
> > *Tina was having difficulties and wanted a fresh start. She* came *to the centre and it was about getting her back into education. It was all done at her own pace – getting back slowly into doing her work, and then her uniform.* (Parent)
> >
> > *She had been in another school but not attending, I did a home visit and she wouldn't come down the stairs to talk to me – I kept on trying. Eventually she came* [into school] *for an hour. Next day, she said can she come for two hours? – I said yes. When she was in the centre, there was no educational input – it was all about the emotional support and letting her know what we can do to support her needs. Eventually she built up from half a day to a whole day.* (Headteacher)

> *Then at this point, she asked to go into lessons. Then she surprised us all by going in one day in a full school uniform. She is now on a different course* [i.e. direction] *and she wouldn't have been able to do it without the support of the school. She's now attending mainstream lessons and doing really well.* (Parent)
>
> *Tina is now in sixth form and has now moved on to a placement to support her future career. That was arranged through the school.* (Headteacher)

7.2.4 Tackling the disproportionate impact of exclusion on particular groups

There was limited evidence from the case studies of the impact of exclusion on particular groups of young people. This seemed to be in part because the staff in mainstream schools and AP provision stressed that the focus of any intervention was on undertaking a full needs assessment and meeting the needs of each individual young person.

One LA lead perceived the main issue to be with working class white boys and their level of attainment with no issues relating to other groups. The increase in high quality vocational provision was perceived to be making a difference to this particular group of pupils:

> *SET has had a positive impact on these pupils, largely as a result of the increased availability of higher quality vocational AP pathways. The key thing is about engagement – if they're doing something they're interested in, they're more likely to attend, to engage, and less likely to get involved in poor behaviour, and more likely to achieve positive outcomes. Vocational stuff is ideal because here, it's about trying to get a job – we have to focus on getting them to think about moving on.* (LA Lead)

In another LA, the assistant headteacher felt that the enhanced provision had had a real impact on a young person with SEN:

> *One young person, in year 8 was very disruptive in class. He is dyslexic and there was support in place for him but he was always pushing boundaries. We wanted to keep him positive and give him a positive year so we sent him on a six-week agricultural course at the farm where he attends for a day a week. His attendance has massively improved and so has his behaviour. He is also making progress in terms of the curriculum. He'll still be a Level 1 learner, but we're not talking about scraping Gs we're talking about making Es and pushing him on. He's just had his mock results and they're Es.* (Assistant headteacher)

Both of these illustrations show how schools and LAs were providing a tailored package for young people which enabled them to engage with the curriculum on offer.

Where flexible timetables were in operation these also seemed to work well with pupils with SEN. For instance, one year 8 male pupil with ADHD often struggled in afternoon lessons and was not coping. It was arranged for him to attend an in-school support centre for the last lesson in the afternoon and to take his work there. The smaller, more controlled, calmer environment where there were teaching assistants on hand to support him meant that he was able to get through the school day.

In another school with a specialist centre for vulnerable young people, a group of looked-after girls had been facing exclusion from another school in the same locality. From being at risk of permanent exclusion in year 10, all the girls had now re-engaged with education and were in the sixth form doing well.

In all of the case-study LAs it was recognised that while Looked-After Children (LAC) could go straight into school, many of them were not at this stage since they might have been out of education for a long time and needed a lot of extra support. Pivotal to successful provision in these circumstances was that there was effective assessment and identification of need. In one LA, for instance, it was acknowledged that there were big challenges in relation to LAC. Young people often came into the area with horrendous histories, were often in crisis and were unable to access mainstream education.

Another LA had set up a virtual school for LAC, with the overall aim being to raise educational attainment of LAC. The role of the team was to support people who worked directly with LAC and the young people in order to develop joint working and raise educational attainments. The role of the virtual school was to bring together and analyse data on LAC; to work with / train designated teachers; to ensure all LAC had a quality personal education plan; to raise awareness with headteachers, advisers, governors and all who worked with LAC.

8.   Initial impacts at school and LA level

This chapter considers the evidence for any emerging impact on the wider school and LA that may be related to the trial. It is drawn from two different sources of data: a questionnaire survey of subject teachers in the schools and statistical modelling of pupil outcomes. These are reported separately.

8.1   Subject teachers' perceptions of 'school climate'

In the second year of the trial, the research in the evaluation schools was extended beyond those professionals directly responsible for behaviour and exclusions. All teachers in a school are indirectly affected by the effectiveness of behaviour management policies, as disruptive behaviour can impact negatively on teaching and learning in all classrooms. To investigate this, a questionnaire, known as the subject teacher questionnaire, was devised for completion by a sample of teachers who were not directly involved in managing behaviour and exclusions. This was designed to gauge the 'school climate' through the extent to which day-to-day teaching and learning were perceived to be negatively affected by disengagement or behaviour problems. Lead teachers in the evaluation schools were asked to distribute the questionnaires to up to five colleagues who had had no involvement in behaviour or exclusions management and who would be willing to complete them.

Responses were received from 405 teachers, 267 of them from 62 trial schools and 138 from 31 comparison schools. To check representativeness, respondents were asked which subject and year groups they taught. The sample proved to be very varied in both respects. Most of the teachers taught across years 7 to 11, with about a quarter of them also teaching years 12 and 13. In terms of subject, English, mathematics, science, history, geography, languages, physical education, computing and technology were all well represented in both trial and comparison samples, with small numbers teaching a range of other subjects.

The overall pattern of responses revealed a generally positive picture, with very few differences between the trial and comparison samples. Figure 15 shows the proportions of teachers giving positive ratings in response to a range of questions. The graph shows the percentage of respondents in the two samples who reported: that their pupils were 'highly engaged' or 'generally engaged' in learning during their lessons; that disruptive behaviour 'never' or 'rarely' impacted on behaviour or progress during lessons; that disruptive behaviour was 'not a problem' or a 'minor problem' in the school as a whole; and those rating their school's approach to managing disruptive behaviour as 'very effective' or 'quite effective'.

Figure 15 Percentage of positive ratings from teachers in trial and comparison schools
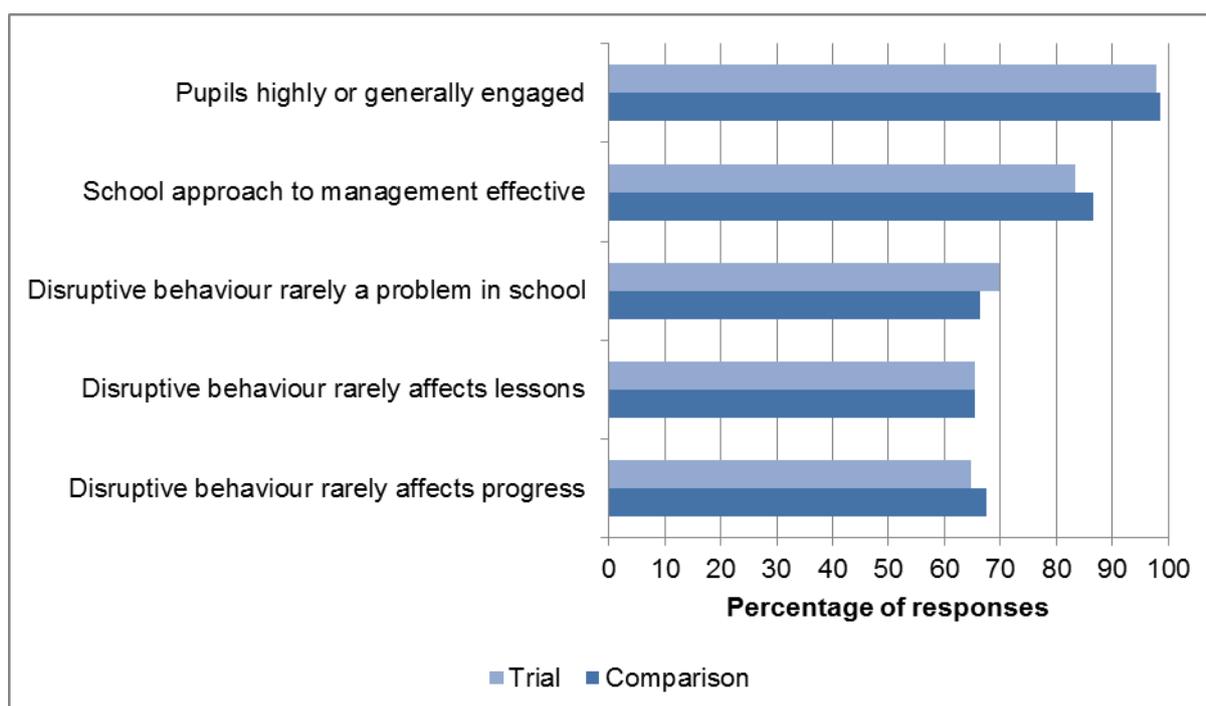
Almost all of the respondents, 98 per cent, had a positive view of their pupils' engagement during their own lessons and over 80 per cent of respondents in both samples viewed their school's approach to managing disruptive behaviour as at least 'quite effective'. The proportion reporting that disruptive behaviour was never or rarely a problem was slightly lower, but was nevertheless about two-thirds in both samples. Of the remainder, the vast majority reported that disruptive behaviour was occasionally or moderately problematic, with only very small numbers reporting serious or frequent difficulties.

For all of these questions, differences between teachers in the trial and comparison schools were slight and not statistically significant.

The subject teachers were also asked whether they had noticed any improvement in the management of disruptive behaviour in the 2012–13 school year, compared to previous years. One question asked whether the effectiveness of their school's approach to managing disruptive behaviour had increased; another whether there had been an increase in the extent or scope of the school's intervention work for behaviour or engagement. Figure 16 shows the responses.

Figure 16 Percentage of subject teachers reporting an increase in 2012–13 compared to previous years
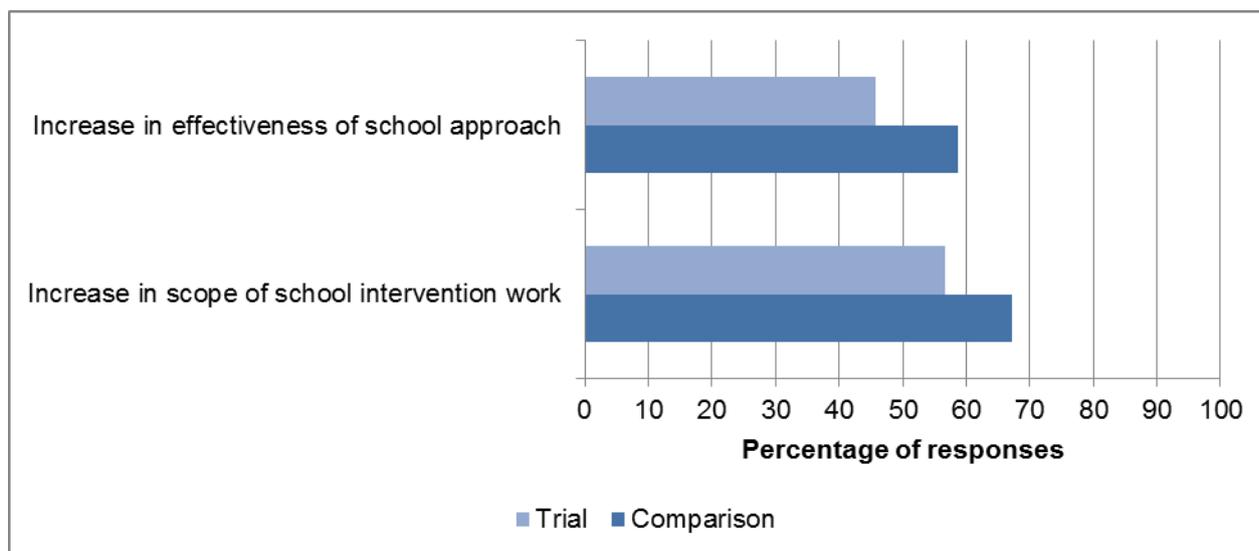
As the graph shows, a relatively high proportion of respondents, around half or more, reported an improvement in both respects. For both questions, however, respondents in the comparison schools were more likely to identify an increase than those in trial schools, and in the case of the effectiveness question, this was a statistically significant difference. It should be noted that this measure of perceived improvement does not give any information about the baseline situation or the extent of improvement.

A follow-up question for those who had identified an increase in effectiveness or its extent explored whether this was apparent in pupils' behaviour, attendance, engagement or attainment. Whilst all four of these were selected by around half or more of the sample, improved behaviour and engagement were more likely to be perceived as effects than attainment, with attendance least likely to be affected.

The subject teachers were invited to add any further comments that they wished in response to an open question: 30 respondents took up this option. The majority of these were in trial schools, reflecting the overall balance of the questionnaire returns. There was some evidence from these of an awareness of new procedures and more effective practices. One drama teacher, for example, wrote: 'Good set of procedures and fantastic inclusion centre enables all students across the school to learn'. However, there was similar evidence from the comparison sample, with one maths teacher writing: 'We are working on new systems to promote positivity which is beginning to show impact'. Other teachers, from both groups of schools, highlighted

the difficulties caused by low-level disruption, or commented more generally on the behaviour of their pupils.

Overall, the findings from the subject teachers across schools tended to reflect the picture revealed by other strands of the research: the management of pupils at risk of exclusion is generally effective and improving, but this is widespread, rather than being associated particularly with SET.

8.2   Comparing all trial schools with comparison schools

In order to investigate whether there had been an *overall* beneficial effect – or indeed a detrimental effect – on *schools* of being involved in the trial, multilevel modelling was carried out (see Appendix 2). The following outcomes were explored, including *all* pupils in all trial schools (N=137,986) and all pupils in all comparison schools (N=585,966):

- **Attainment**
    - Key stage 3 average point score
    - Key stage 4 total point score and the number of Level 1 (A*-G) and Level 2 (A*-C) GCSE examination passes
- **Exclusions[6]**
    - number of fixed-period exclusions
    - length of fixed-period exclusions
- **Absences**
    - whether persistently absent or not
    - number of unauthorised absences

Note though that the number of pupils included in each model varied according to the outcome being measured (see Table 21).

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[6] Numbers of permanently excluded pupils were too small to model.

Table 21 Pupils included in 'whole-school' impact models

Model	All pupils in trial schools	All pupils in comparison schools	Total
Key stage 3 attainment	27,489	116,221	143,710
Key stage 4 attainment	28,766	120,938	149,704
Fixed-period exclusions	137,986	585,966	723,952
Absences	137,986	585,966	723,952

The models revealed that there was *not* a statistically significant difference in any of the outcomes for trial and comparison schools. Although this suggests no positive impact to date of the trial on schools overall, this also suggests no detrimental impact resulting from schools taking more responsibility for supporting pupils at risk of exclusion. As suggested in section 7.1 above, which considered pupils at risk of exclusion rather than all pupils, it is likely to be too early to be able to detect an impact of the trial on attainment, exclusions and attendance.

While the models showed no significant differences between trial and comparison schools in terms of these outcomes, other background variables did show significant associations. Pupils who, before the trial, themselves had higher levels of fixed-period exclusions (FPEs), had lower attainment subsequently at key stage 3 and key stage 4. Pupils in schools that, before the trial, had a higher rate of FPEs (irrespective of the FPE rate of the individual pupils), had higher levels of attainment subsequently at key stage 4 but lower levels at key stage 3. Pupils with higher prior attainment, female pupils, or pupils in minority ethnic groups (non-white) tended to have higher attainment at key stage 3 and key stage 4. Pupils with EAL tended to achieve higher at key stage 4. Pupils with SEN or who were eligible for FSM tended to have lower levels of attainment at key stage 3 and key stage 4.

Pupils who had previously been excluded (fixed-period exclusions) were, as expected, more likely to have unauthorised absences, be a persistent absentee and be excluded in the current academic year. Pupils in minority ethnic groups were less likely to have unauthorised absences or be excluded. Female pupils were less likely to be excluded, but more likely to be absent (unauthorised or persistently). Absentee rates increased as pupils became older, but while year 8 to year 11 pupils were more likely to be excluded than year 7 pupils, the exclusion rate did not increase with age.

9.   Value for money

In what follows, descriptive statistics are presented on the funding of AP for permanently excluded children. Data collected from trial and comparison schools and LAs is used and frequencies and percentages computed whenever the variables of interest were binary (e.g. the school has a dedicated budget for AP 'yes/no') and averages if the variable was continuous (e.g. actual budget in GBP). When the question contained multiple sub-questions, summative indices were calculated. For instance, the lead teacher questionnaires asked for the number of staff allocated per annum for in-school provision. This question contained 32 sub-questions accounting for different types of staff members (e.g. administrative support, clinical psychologist, child therapist, etc). The number of staff in each category was summed into one index. Most of the responses in relation to these 32 variables were equal to zero because a school was unlikely to have a staff member in each category. Some variables contained substantial missing items because questions were not fully answered by lead teachers and LAs. The reported results are based on complete data.

9.1   Trial schools

In 2011–12, of the 48 responding trial schools (of 63), 50 per cent reported having a dedicated budget for in-school provision and 62 per cent reported having a dedicated budget for AP. The average budget for in-school provision was £50,480 (median £39,125) (based on responses from 20 schools) and the average budget for AP was £47,243 (median £24,125) (based on responses from 32 schools) (see Table 22).

In 2012–13, of the 48 responding schools, 60 per cent reported having a dedicated budget for in-school provision and 76 per cent reported having a dedicated budget for AP. The average budget for in-school provision was £48,501 (median £16,328) (28 schools responded to this question) and the average budget for AP was £42,480 (median £25,000) (36 schools responded to this question). Comparing the figures for the two years, we find that both in-school provision and AP budgets have slightly decreased (see also Table 22).

Table 22 Budget: responses from lead teachers in trial schools 2011–12 and 2012–13

	In-school provision		Alternative Provision	
Having a dedicated budget 2011–12				
	Freq.	Per cent	Freq.	Per cent
Yes	24	50	31	62
No	24	50	19	38
Total	48	100	50	100
Actual budget in £s 2011–12				
Variable	Observations (obs.)	Mean	Min.	Max.
In-school provision	20	50,480	3,379	261,160
Alternative Provision	32	47,243	1,200	420,818
Having a dedicated budget 2012–13				
	In-school provision		Alternative Provision	
	Freq.	Per cent	Freq.	Per cent
Yes	29	60	38	76
No	19	40	12	24
Total	48	100	50	100
Actual budget in £s 2012–13				
Variable	Obs.	Mean	Min.	Max.
In-school provision	28	48,501	400	263,772
Alternative Provision	36	42,480	500	316,063

On average, ten staff members were allocated for in-school provision, with the average number of hours allocated to staff being 286 hours (0.8 full-time equivalent (FTE)).The average number of pupils supported by in-school provision was 29 (see Table 23)

Table 23 Staffing, hours allocated and pupil numbers for in-school provision

	Obs.	Mean	Std. Dev.	Min.	Max.
N of staff	61	10.5	11.3	0	52
N of pupils	58	28.7	74.5	0	540
FTE allocated to staff	58	0.8	2.2	0	9
N of hours	61	286.3	741.5	0	3,503

The average cost of the AP was £28,396 and the average number of pupils accessing AP was nine (see Table 24). The average cost per pupil was £3,000.

Table 24 Cost of Alternative Provision and number of pupils accessing it

	Obs.	Mean	Std. Dev.	Min.	Max.
Cost in GBP	63	28,396	62,015	0	350,001
N of pupils	63	8.8	13.7	0	72

Twelve per cent of all schools reported that the AP was delivered in collaboration with one other school, while 78 per cent said that they did not collaborate with any schools (see Table 25).

Table 25 Provision in collaboration with other schools

Provision in collaboration with other schools	Freq.	Per cent
0	38	78
1	6	12
2	3	6
3	1	2
4	1	2
Total	49	100

9.2 Comparison schools

In the year 2011–12, of the 24 responding comparison schools (out of 29), 38 per cent reported having a dedicated budget for in-school provision and 46 per cent reported having a dedicated budget for AP. Nine schools reported an average budget of £25,877 (median £17,000) for in-school provision and 11 reported a budget of £26,293 for AP (median £15,000) (see Table 26).

In the year 2012–13, of the 22 responding schools (from 29), 46 per cent reported having a dedicated budget for in-school provision and among the 25 responding schools (from 29), 52 per cent reported having a budget for AP. Ten schools reported an average budget of £32,729 (median £25,500) in 2012–13 for in-school provision and 14 reported a budget of £18,641 (median £11,200) for AP (see Table 26).

When comparing the results from the two consecutive years 2011–12 and 2012–13, we find that the budgets for in-school provision had increased while the budget for AP had decreased.

Table 26 Responses from lead teachers in comparison schools: budgets 2011–12 and 2012–13 (29 observations)

Having a dedicated budget 2011–12				
	In-school provision		Alternative Provision	
	Freq.	Per cent	Freq.	Per cent
Yes	9	38	11	46
No	15	63	13	54
Total	24	100	24	100
Actual budget in £s 2011–12				
Variable	Obs.	Mean	Min.	Max.
In-school provision	9	25,877	2,000	77,300
Alternative Provision	11	26,293	5,000	114,000
Having a dedicated budget 2012–13				
	In-school provision		Alternative Provision	
	Freq.	Per cent	Freq.	Per cent
Yes	10	46	13	52
No	12	55	12	48
Total	22	100	25	100
Actual budget in £s 2012–2013				
Variable	Obs.	Mean	Min.	Max.
In-school provision	10	32,729	9,184	89,600
Alternative Provision	14	18,641	1,500	89,800

Note: percentages may not sum to 100 per cent due to rounding.

The average number of staff members in the different categories per school was 17 and the average number of hours in 2012–13 allocated to staff was 543. The average number of pupils supported with in-school provision was 77 (see Table 27).

Table 27 Staffing, staff hours and pupil numbers relating to in-school provision

	Obs.	Mean	Std. Dev.	Min.	Max.
N of staff	29	17	15	1	57
N of pupil	26	77	184	0	836
FTE allocated to staff	29	5	10	0	38
N of hours	29	543	962	0	2925

The average cost of AP for each school was £13,134 and the average number of pupils accessing AP was 13 (see Table 28). The average cost per pupil was £1,000.

Table 28 Cost of Alternative Provision and the number of students accessing it

	Obs.	Mean	Std. Dev.	Min.	Max.
Cost in GBP	29	13,134	15,850	0	62,300
N of pupils	29	13	16	0	60

Lead teachers were asked if the AP was in collaboration with other schools; 58 per cent of them responded no, 33 per cent said that it was in collaboration with one other school (see Table 29).

Table 29 Provision in collaboration with other schools

Number of schools	Freq.	Percent
0	14	58
1	8	33
3	1	4
4	1	4
Total	24	100

9.3   Local authorities

9.3.1 Trial local authorities

Of the ten LAs where data was available, eight indicated that in 2011–12 they had a dedicated budget for AP. In 2012–13, only nine LAs responded. Of those responding, two did not have a dedicated budget.

9.3.2 Comparison local authorities

Twenty-six of the 28 comparison LAs responded to a statement about having a dedicated budget for AP in 2011–12. Of these, 92 per cent (24) indicated that they did have a dedicated budget.

In 2012–13, of the 24 local authorities which responded, 22 (92 per cent) reported that they had a dedicated budget for AP.

When the data from the two years is compared, the proportion of LAs with a dedicated budget for AP remained the same.

9.4   Summary

For both 2011–12 and 2012–13, a higher percentage of trial schools than comparison schools had dedicated budgets for in-school provision (50 per cent in 2011–12 for trial schools compared with 38 per cent in comparison schools; 60 per cent in 2012–13 in trial schools compared with 46 per cent in comparison schools) and AP (62 per cent in 2011–12 in trial schools compared with 46 per cent in comparison schools; 76 per cent in 2012–13 in trial schools compared with 52 per cent in comparison schools). The proportions of trial and comparison schools having dedicated budgets for in-school and AP increased between 2011–12 and 2012–13: the increase was greater in trial schools.

In the trial schools, the budgets for both in-school provision and AP reduced between 2011–12 and 2012–13. In contrast, in the comparison schools, the budget for in-school provision increased while that for AP decreased. These differences were not statistically significant.

The financial data indicated that the comparison schools had higher staffing levels for in-school support, allocated more hours and had a greater number of pupils receiving support than the trial schools. This is not what would have been expected and may contribute to explaining why there are few differences overall between trial and comparison schools. Comparison schools were also investing in a range of in-school support.

The trial schools reported spending more on AP than the comparison schools, despite the fact that they had fewer pupils accessing AP. It was not possible to get information about the costs of AP for individual pupils and it may be that in trial schools some pupils required expensive provision, distorting the data. It may also be an indication that, in line with the principles of the trial, trial schools were taking a different approach to the use of AP. For example, by commissioning more intensive or longer placements. A greater percentage of trial schools had no collaborative provision for AP with other schools, whilst there was more collaboration in comparison schools. Again, this indicates that schools, in general, without being part of the trial have been taking steps to ensure that pupils likely to be permanently excluded have appropriate educational provision.

Most trial and comparison LAs had dedicated budgets for AP and this had not changed between 2011–12 and 2012–13.

10. Summary and conclusions

The extent of educational reform immediately prior to and during the School Exclusion Trial has been significant. The criteria adopted by Ofsted in inspecting schools have had a greater focus on behaviour and attainment, and a particular focus on schools' use of AP. Changes in performance tables have also impacted on schools and their decisions about the qualifications they offer to pupils. Taken together, these reforms have changed the way that schools approach the education of all pupils and particularly those at risk of exclusion. In terms of the evaluation, both trial and comparison schools have responded to these reforms, which has meant that the differences which might have been expected between them have not always been in evidence. In some cases, trial schools had already begun implementing new approaches prior to the formal start of the trial.

The multilevel modelling (based on datasets available one year after the start of the trial) undertaken to explore whether there had been an overall beneficial or detrimental effect on pupils in schools involved in the trial in relation to attainment, fixed-period exclusions and attendance, showed no statistically significant difference in any of the outcomes for trial and comparison schools. This may have been because it was too early to detect an impact or that comparison schools alongside trial schools were changing their practices in response to wider educational reforms. There were also no statistically significant differences specifically related to being identified on the pupil profile form by the school. Taken together, these findings suggest that there was no detrimental impact resulting from schools taking more responsibility for supporting pupils who had been at risk of permanent exclusion.

In implementing the trial, LAs adopted a range of different approaches. Out of the 11 participating LAs, only one had formally adopted the Power to Innovate (PTI) as a means of transferring the legal duty of the LA to schools to make arrangements for pupils who would not otherwise receive a suitable education. The remaining LAs had implemented the trial within the existing legislative framework.

There was evidence that trial schools were more likely than comparison schools to have funding devolved to them. Some LAs had put in place shadow budgets to support this approach. The proportions of all schools having dedicated budgets increased over the course of the trial, with a greater increase in trial schools showing that they were being given increased responsibility for AP. Trial schools' budgets for in-school provision and AP reduced slightly over the course of the trial, although overall their budgets were still higher than comparison schools.

LAs reported that there was considerable variation in the AP policies and practices of schools. Because not all schools in participating LAs were part of the trial, there were sometimes discrepancies between the accounts given by schools and LAs about the

extent of schools' responsibilities. This may also have been because there were different conceptions of what it meant to take responsibility for permanently excluded pupils. While from the LA perspective this may have related to legal and financial responsibility, schools may have adopted a wider conception to include practical or moral responsibility. However, the overriding theme which emerged from the LA interviews and case-study visits was that trial schools were taking an increased responsibility for pupils at risk of exclusion, which in turn meant that they were working to place young people in the most appropriate provision.

Trial schools were involved in commissioning AP and monitoring its outcomes. A number of these practices were already in place in some LAs prior to the trial, though being part of the trial had made a difference to their prevalence. The key changes relating to the trial included increased partnership working through the use of panels, for instance, district panels and fair access panels, and the development of more rigorous quality assurance and accreditation systems for AP providers. The use of service level agreements had also increased. There was increased collaboration between schools with pupils experiencing managed moves on a short-term or more permanent basis. There was agreement between LA leads and lead teachers that partnership working had increased, that processes had been made more rigorous, that information about pupils was improved and that better tracking processes were in place. LAs had adopted more rigorous processes and schools were making effective use of data to identify patterns of behaviour in order to put in place support packages for young people.

One LA had revised the commissioning procedures for AP, others had introduced early intervention programmes and time-limited AP. One LA had closed all of its PRUs whilst in others the PRUs had frequently taken on new roles, for instance, providing a list of quality assured AP, or commissioning AP.

As a result of the trial, teachers reported that fewer pupils on average had been permanently excluded. The majority of lead teachers reported that their schools had not made changes to exclusions policies as a result of the trial, although some changes had occurred in relation to early intervention/ behavioural support in schools, use of AP and working with other schools.

There was no statistically significant difference between the trial and comparison schools in relation to the number of in-school interventions or AP interventions in place to support pupils at risk of exclusion. Nor was there a difference in the types of in-school interventions in place. The different types of provision were fairly widespread, yet those most common were not always deemed most effective. Moreover, some widespread provision was targeted at small numbers of pupils at risk, including learning support unit provision, which had increased across both groups in 2012–13. There were some differences in the proportion of pupils targeted

for certain types of provision across trial and comparison schools, but not in relation to the fact that it was offered per se. The exception was in relation to one type of AP – trial schools were significantly more likely to send pupils to another school for support.

There was a change in the pupils designated as at risk during the trial. Many of the pupils designated at risk at the beginning of the trial were no longer considered so at its conclusion. Schools' judgements of pupils at risk of exclusion were reviewed regularly and adjusted when behaviour had improved. Pupils were quite likely to be removed from or added to the at risk list from one year to the next. The change in the numbers of at risk pupils suggests that the interventions adopted had been successful in improving pupils' behaviour at least to the extent that they could be removed from this category.

At risk pupils were more likely to be boys, unlikely to have achieved National Curriculum level 4 at the end of primary school, and had a relatively high likelihood of being eligible for FSM. A high proportion had an identified SEN usually met through School Action or School Action Plus; only a small proportion had statements. A smaller proportion of pupils deemed at risk in the second data collection had SEN than those already on the list in both trial and comparison schools. Across trial schools there was limited evidence of the relationship between permanent exclusion and particular groups of young people.

The reasons given for pupils being designated as at risk related to factors within and outside school. Within school the main reason was poor behaviour. Trial schools were significantly more likely to identify the home situation as a reason for concern than comparison schools. Findings from the case studies and interviews indicated that trial schools were aware of how essential parental/carer engagement was in relation to supporting at risk pupils.

The number of pupils subject to managed moves was small but trial schools accepted a significantly higher proportion of pupils and had significantly fewer pupils under consideration for moving out than comparison schools. There was increased transparency and more rigorous processes were in place relating to the use of managed moves in trial schools.

The interview data suggested that the overall outcomes for young people at risk of exclusion were improving. Strong systems were in place to monitor attendance, attainment and behaviour and tracking systems were also in place to monitor the destinations of young people after leaving school or AP. There was also evidence that AP was keeping young people engaged with education who otherwise might have become NEET.

Schools also seemed to be more focused on raising attainment, particularly in relation to GCSE outcomes and especially in English and maths. Within the trial LAs, the PRUs were taking an increased responsibility to deliver GCSEs. This seemed to be raising attainment in those pupils who were engaged with AP. Schools and PRUs were seeking a balance between helping young people to achieve GCSEs in core subjects and in providing a wider curriculum offer that would engage them with education. Changes in the criteria for the formulation of performance measures and 'accepted qualifications' over the period of SET also seemed to have had an impact on the qualifications that young people were offered. These changes, which were outside of the trial, seemed to have made schools and LAs pay more attention to the value of the qualifications that young people achieved.

The evidence from subject teachers showed that they tended to have a positive view of their pupils' engagement during their own lessons. They also indicated that their school's approach to managing disruptive behaviour was at least 'quite effective'. There were no differences in responses between trial and comparison schools. About half of the responding teachers reported an improvement in the effectiveness of their school's approach to managing disruptive behaviour and in the extent of the school's intervention work for behaviour or engagement over the period of the trial. Overall, the findings from the subject teachers indicated that the management of pupils at risk of exclusion was generally effective and improving. However, this was the case for trial and comparison schools so was not specifically associated with the impact of the trial per se.

The comparison schools had higher staffing levels for in-school support, allocated more hours and had a greater number of pupils receiving support than the trial schools. Comparison schools were clearly investing in a wide range of in-school support illustrating the impact of educational reforms on school practices which were not connected with the trial per se.

The evaluation of the trial indicates that many schools are doing a great deal to identify and support pupils at risk of exclusion. This includes rethinking their responsibilities towards those at risk of permanent exclusion and taking seriously their obligations to pupils who have been permanently excluded. The evaluation has identified a range of innovative and locally driven practices in trial schools which can provide positive examples of good practice for other schools and LAs looking to improve outcomes for these pupils.

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Appendix 1 Illustrative examples

Illustrative example 1: Area-wide AP through school collaboration

Context and rationale	Prior to the implementation of the trial, a decision had been taken to close all the LA PRUs and devolve the associated funding to schools in three partnership areas across the LA. In the context of the trial and using the Power to Innovate to delegate responsibilities to schools, the approach developed in one partnership area centres on schools collectively managing their responsibility for identifying, procuring and ensuring the quality of AP for their pupils. This is achieved through the establishment of a limited company, controlled and funded by the schools, which acts as the vehicle through which AP is identified and commissioned.
The practice/approach	The schools in the area partnership contribute a percentage of their allocated funding for AP to a central fund, which is used to support the partnership's operation and its key aim of 'providing appropriate provision for all young people in [the area] including AP'. The partnership consists of eight secondary schools and the local FE college. It is structured as a limited company and the secondary school headteachers and the college vice-principal are company directors. Partnership meetings are held on a rotational basis in the constituent schools giving participants the opportunity to experience each school's resources, facilities and provision. The company manager, employed on a part-time basis, oversees and coordinates the partnership's work. A key part of the role involves coordinating the monthly Fair Access Panel meeting, ensuring that the partnership schools collaborate to provide pupils at risk of exclusion with access to the most appropriate provision. The partnership purchases AP on behalf of its members for pupils identified as being in need of additional support. Part of the company manager's role is to broker and develop relationships with existing providers (drawn from the LA's catalogue of providers) and to identify and assess the quality of new providers in the local area.

Evidence and outcomes	The partnership's approach to AP has become more coordinated and formalised. AP is commissioned under a common contract, costs are actively negotiated to ensure maximum value for money, and places can be used with greater flexibility to suit the needs of individual schools and pupils to optimise outcomes. For example, one full-time commissioned place at a private provider can be shared between several pupils over the course of an academic year according to need. A significant amount of support is commissioned from a national provider that offers full-time KS3 and KS4 provision. An effective working relationship between the company manager and the provider has been established, which has led to flexibility in the nature of provision available and has allowed room for negotiation in relation to the costing structure. The company has been able to secure a larger number of places at a lower unit cost per place. The initial contract underpinning this relationship has been developed and used as a model across the other partnership areas in the LA. *When new providers get on board I meet with them not only to look at the provision but also to negotiate with them. Last year we bought ten places and we only used eight.* [Name of provider] *were good and said 'you've not used your places so do you want to split them?' So schools sent a couple of pupils for a few days a week to reengage them, one place was used by three students. This is because I've got a very good relationship with the teacher in charge.* (Company manager) There are now closer links between the commissioners and suppliers of AP in this area, enhancing the oversight and monitoring of the provision on offer. The company manager has weekly meetings with AP managers to discuss progress made by pupils. Lesson observations are carried out on a regular basis. Staff from the partnership schools whose pupils attend the provision have regular contact with the provider to discuss attendance, behaviour and attainment issues. In this way, difficulties can be addressed quickly. This heightened level of communication reinforces the 'partnership approach' that underpins the relationship between suppliers and purchasers of AP in this area.

	The school services [the AP] *as well, it's not a dumping ground, we pay attention and if the child is not engaging we get over there pretty quick. When we take the children over there, we go over and sit with the parents and talk through how it's going to work for however long the child is going to be there.* (Teacher)
Key learning points	Importance of key staff member as driver The contribution of a skilled and experienced manager with a professional background in education and inclusion is seen as a central feature of the success of the approach. This individual has been described *as* 'the gatekeeper … the glue that holds it all together'. This role ensures that there is a continuous link between schools and providers and there is oversight of the roles and responsibilities of each, for example, ensuring that records of pupil attainment and attendance are kept, and that progress and outcomes are reviewed. This role, with dedicated time and a specific remit, helps increase the individual and collective capacity of schools to support pupils at risk of exclusion. Through working in, and with different schools, the company manager has built up detailed knowledge of the resources, infrastructure and expertise within individual schools, and this knowledge is shared across the other partnership schools. *You can't do this as part of a headteachers or a deputy's role: it works because there is a dedicated manager of the company.* (Company manager) Schools' commitment to partnership ethos There is a collective responsibility for pupils at risk of exclusion across the partnership. This shared commitment underpins a self-regulating system to ensure that the most appropriate school place or package of provision is made available to meet pupil needs. Schools' participation in the Fair Access Panel and the area partnership, with coordinating oversight from the company manager, add transparency and strength to this commitment.

Illustrative example 2: Collaboration between schools to support an early intervention, exclusion-prevention programme

Context and rationale	In this large authority, different approaches to the trial have been applied in different regions. In one particular area, all ten district high schools signed up to a collaborative approach to help reduce exclusions through early intervention to prevent the escalation of behaviour problems. This was a collective response to concerns over increasing numbers of permanent exclusions at KS3 and the unsatisfactory nature of AP provision on offer. A central element of this approach therefore entailed providing schools with greater choice in how to support their most vulnerable pupils. [Schools] *have inclusion rooms where there are desks and you go there when you are sent out, they are monitored by somebody. They don't have the same sort of impact or do the same sort of work as* [the new programme].
The practice/approach	Content It was recognised that whilst the preventative work offered through the LA PRU was effective in meeting pupils' needs, removing pupils from their schools caused disruption and subsequent reintegration problems. As a result, a programme was developed to deliver intervention work to at risk pupils in a specific off-site location, on a time-limited basis, with pupils attending school the rest of the time. The programme entails attendance for one day a week for nine weeks and centres on a bespoke curriculum based on humanistic psychology, transactional analysis and neuro-linguistic programming – 'just getting them to think and act and to understand how they think and act'. The overarching aim of the approach was to raise the educational attainment of pupils not achieving expected targets and identified as not thriving within their school settings, along with deterioration in attendance and behaviour. The programme operates as small group sessions, fostering a sense of belonging and ownership amongst pupils whilst they attend the programme and also on return to school.

	Structure and operation Collective support for the programme came from all the district secondary schools agreeing funding of £5,000 in return for an allocation of 12 places per year. The provision includes curriculum delivery plus continuous ongoing feedback until the end of the academic year. This ensures that schools know that support is available to them should they need it, and the provision knows that it has a guaranteed level of resource available (delivered through the LA PRU). A strict, well-defined referral process is in place, led by the programme manager, to ensure that schools are using the provision appropriately. Screening, interviews, conversations with parents/carers and young people, and relevant needs assessments (including Pupil Attitudes to Self and School (PASS)) take place prior to a young person joining the programme, underpinning the rigour of this process.
Evidence and outcomes	The programme has led to positive outcomes in pupils' behaviour, academic outcomes, attendance, and future progression/pathways. Behaviour Following its first year of operation, programme staff reported a 92 per cent success rate in terms of preventing the permanent exclusion of pupils identified as being at risk by their schools. Stakeholders, including a commissioning headteacher, expressed positive views on the innovation underpinning this approach and its ability to break the cycle of social exclusion and low attainment. *We teach them to understand and take control of their behaviour and that then supports how they see and deal with other things, like attendance and attainment. Pupils take responsibility for their own behaviour, stop blaming everyone else and take control back, raise their aspirations and goals in life.* *We don't have any behaviour issues and these are the students that are identified as causing real problems in the mainstream school and we have had visitors from the schools come and say, 'oh my gosh, look how much work he's done and he is sat there talking politely to you'.*

Attainment

Data tracking and ongoing communication with schools suggest that pupils' academic performance on their return to school is improved. Ongoing post-reintegration support from project staff is seen as a key element in helping pupils maintain their improved engagement with school.

Students who attended cohort one year 9 when we started, they achieved or exceeded their target grades at GCSE when they left, and these were students that schools had identified at risk of permanent exclusion because of behaviour.

Attendance

Attendance at the project was said to be good throughout the duration of the programme (in the region of 95 per cent) and also sustained on pupils' return to school.

Progression

Data tracking of pupils who had attended the programme and had completed year 11 at school revealed that none of them had left school and been classified as NEET.

So we get them to engage and attend with us, then that continues on a whole load of levels when they leave us – they either go back into school and get on fine, or might need a bit more support from us, or they go on to other destinations and don't become NEET – they attend somewhere and do something. So we do have a very positive impact on their attendance in a variety of ways.

Wider impact on schools

The programme was said to deliver a high impact relative to its cost and in addition to supporting particular targeted pupils, staff provide INSET training in schools, widening its reach (this is reflected in the increasing number of requests from schools beyond the district for staff training). Sustained financial commitment from schools, and increasing demand for the provision were seen as evidence of its success.

Key learning points	Close communication between commissioners and provider
	This ensures clarity of understanding and expectation – the provision is explicit about what it offers and which pupils will benefit, so schools will then refer the 'right' pupils. Strict referral processes and criteria, backed up by needs assessments, reinforce the targeted nature of the provision. The 'commissioners' are generally school headteachers and senior leaders, interpreted by the programme manager as meaning 'there is plenty of expertise in the school community to know what they want from an AP provider'.
	Flexibility within the overall stability of a pre-purchasing agreement
	Schools have a fixed allocation of places in the programme, based on a predetermined price, although there is flexibility in the manner in which this resource is utilised. In this way, the provision can offer support that is pupil focused, based on negotiation with schools to ensure that appropriate support is provided. This can be on-site, programme-based intervention, or may take the form of in-school delivery.
	Schools know how many places they are going to get a year, but they also know they can ask for group work for KS4 ... So if they don't use their three allocated places, they can use the spare money to purchase other support that best suits their needs.
	Project's responsiveness to individual needs
	The project is able, within its resource limitations, to put in specific targeted support with particular pupils beyond the official duration of their attendance. Whilst working with pupils on site, close relationships are developed with pupils, which can form the basis for continued support on return to mainstream school. Areas of difficulty identified during group work sessions at the project can be addressed in the school setting.
	It is also that we go into schools, yesterday I was in maths with [name of pupil] *and s/he had identified that last week maths had been a bit of issue and s/he had been sent out. So I thought, right, I will go next week and see what is going on.*
	One young man was permanently excluded [from mainstream school] *while he was with us. He completed us and then refused to engage with the PRU. So we worked with the PRU, we went to his house, collected him, took him to the PRU. Now he has reengaged with that.*

Illustrative example 3: Schools' collaborative use of devolved funding and decision-making function to support area-based AP

Context and rationale	Schools in one district of a large authority have entered into an informal agreement to direct money devolved to them from the LA back to the PRU to manage the AP offer for their vulnerable pupils. The key impetus for this approach was the drive to reduce the number of pupils facing permanent exclusion, whilst also reducing the amount of time vulnerable pupils spent in the PRU away from their mainstream schools. A critical element of this approach therefore entailed the successful redefinition of the roles and functions of the PRU, and the way this provision was conceptualised and used by schools.
The practice/approach	Two key elements encompassing both the demand and supply sides of AP underpin the development of this approach. Collaborative agreements underpinning funding and commissioning and arrangements The central element of this approach involves the schools in this particular district each agreeing to commit £5000 funding from their budgets to the PRU. This secures a fixed allocation of two places each year for a six-week early intervention programme for year 9 pupils. Although this relationship is formalised and defined through a service level agreement (SLA), there is flexibility as schools can negotiate purchasing further places on a needs-led basis, outside of the agreement. Additionally, schools can arrange to buy and sell surplus places between themselves depending on changes in their individual circumstances throughout the year. In addition, schools can commission the PRU to provide support for year 10–11 pupils who are identified as struggling to maintain their place in a mainstream school because of behavioural issues. Developments in the role and function of the PRU As part of the collaborative approach, the PRU now offers short-term, time-limited interventions, increasingly focusing on supporting cohorts of younger pupils.
Evidence and	The development and implementation of this approach has had a

outcomes	positive impact on the degree of cohesion and quality of relationships between commissioners. The commitment to collaborative funding of the PRU is dependent on the shared responsibility for, and commitment to, providing appropriate support for vulnerable pupils. This joint ownership of the solution to meeting local AP needs sits within and enhances other systems and protocols, including managed moves and the fair access protocols. Checks within the system ensure that it self-regulates, and participating schools do not abdicate their responsibility to support pupils at risk of exclusion. *It was apparent that one school was excluding more than the others. The headteachers discussed this and decided that they were collectively not prepared to keep subsidising this one school's overuse of the PRU in excess of its two allocated places. This will act as a disincentive for other schools to exclude more pupils. This makes headteachers more responsible for their pupils, rather than shoving the problems off to the LA.* Crucially, the stronger, more unified approach to commissioning has led to the availability of more appropriate provision. Schools' direct involvement in the PRU, through headteacher presence on the management committee, for example, ensures that the PRU is able to offer the appropriate type and quality of provision required by schools. Through the pre-purchased place funding arrangement (and a relocation to larger, more appropriate premises), the PRU has increased its capacity to support both KS3 and KS4 pupils and has developed an infrastructure with a range of specialist facilities to support curriculum delivery. Staffing levels have been increased, so improving staff–pupil ratios allowing group sizes of 6–8 to enhance pupils' learning opportunities.

Key learning points	Infrastructure to support stakeholders' commitment to self-regulatory system
	Peer-to-peer relationships between the school heads who self-regulate and manage the referral and placement of at risk pupils are central to the effectiveness of this approach. These relationships are formalised through monthly, data-led review meetings attended by all stakeholders, such as headteachers, PRU head and LA personnel. Requests for managed moves, in year fair access cases and referrals to PRU are discussed, and patterns identified to QA the effectiveness of the provision for individual pupils (using a traffic light indicator system) and also schools' 'ethical' commitment to the collaborative approach.
	So there is a good dialogue going on with schools about the fairness and equality of the process, it is much more open and transparent than it ever used to be. This supports peer-to-peer moderation between headteachers in the group.
	Willingness of schools to share expertise and resources
	One school drew on its experiences and expertise of commissioning and procurement developed in its conversion to academy status to devise a SLA (with the PRU) that could be shared with other schools in the partnership. The school instructed a law firm specialising in education policy to review the format and content of the draft SLA devised by the headteacher which was amended accordingly before use across the district.
	Certainty of funding
	Critically for the PRU, the commissioner–provider relationship is underpinned by a commitment of a payment from all the schools, allowing the PRU to remodel and enhance its offer based on a known, guaranteed level of funding.

Illustrative example 4: Collaborative PRU provision to ensure appropriate placement of pupils

Context and rationale	As a response to concerns over increasing numbers of referrals at KS3 and a recognition that intervention at KS4 was often too late to effect meaningful change, PRU provision was remodelled. Schools work collaboratively, and collectively fund the PRU to provide early intervention for pupils at risk of exclusion. The provision offers short-term, time-limited intervention, especially for younger pupils, as well as ongoing, longer-term support for older pupils.
The practice/approach	Prior to the onset of the trial, schools and the PRU had begun to explore collaborative ways of working, especially in the context of the PRU becoming responsible for its own budget. Consistent with the trial's core principles, schools received money from the LA in order to provide for pupils at risk of exclusion and those already permanently excluded. In this partnership area of the LA there were collective moves to work towards reducing the numbers of exclusions and the PRU was seen as an essential element in this. Schools agreed to fund the PRU to continue operating, but with a greater emphasis on early intervention and preventative work. The collaborative approach is operationalised through the Behaviour Panel, consisting of representative of schools and the PRU, which meets to discuss all pupils who might require a managed move or referral to the PRU.
Evidence and outcomes	Increase in status of PRU Perceptions of the PRU have changed so that it is no longer seen as a last resort or a 'dumping ground' for pupils who have been, or would otherwise be, permanently excluded from school. Increased focus on early intervention for younger pupils The devolution of funding to schools has facilitated increased commissioning of the PRU, which now provides support for younger pupils in years 7, 8 and 9. The PRU now supports over 20 KS3 pupils, more than three times the number of places available under the previous LA model. Through the flexibility and increased levels of funding, the PRU has employed more specialist staff to support this changing cohort of pupils.

	Higher quality, more coordinated packages of provision are available to support pupils' needs

Exclusions in this area have reduced. The PRU delivers effective time-limited intervention that prepares pupils for reintegration to their home school, or an alternative through a managed move if this is deemed to be more appropriate by the Behaviour Panel. Year 10–11 pupils that remain the PRU's responsibility until school leaving age are offered a personalised learning package to support their progression.

Enhanced role of PRU as commissioner of AP

The PRU now provides a 'halfway house' function, being commissioned by schools, but it also commissions additional external AP for some pupils to meet previously unmet needs to facilitate their re-engagement with learning. Generally this entails a variety of enrichment activities to supplement the academic curriculum followed at the PRU and in mainstream schools. Eleven known and trusted providers are commissioned by the PRU, encompassing private enterprises/companies, social enterprises and community interest companies. One of these, offering construction-related vocational qualifications, is managed by a consortium including the PRU and local schools. Senior school/PRU staff are non-executive directors of the company which was formed several years ago to fill the gap in provision following the closure of a private AP provider. |
| **Key learning points** | Closer relationships with commissioning secondary schools

Alongside strategic-level interaction through the area Behaviour Panel, this approach has been enhanced through improved communication between PRU staff and the lead behaviour practitioners in commissioning schools. Regular reciprocal visits have helped staff develop mutual understandings of each other's provision that have led to improvements in their combined efforts to support pupils. Improved information sharing is central to this, and underpins the referral/commissioning process. |

Illustrative example 5: Improved use of data by a PRU to enhance the commissioning and referral processes

Context and rationale	This PRU acts as a provider of AP for local schools, focusing on KS3 early intervention and preventative work, as well as a commissioner of external AP for other pupils. Developments in the commissioning and referral process came about as a result of the need to ensure that the PRU was being commissioned appropriately by schools. This was to be achieved through the increased availability of high quality information allowing the PRU to create tailored learning and support packages that are increasingly geared towards generating academic success.
The practice/approach	The establishment and maintenance of closer working relationships with key school personnel has led to the development of clearly defined and structured referral and assessment procedures. This has ensured the appropriate referral of pupils to the provision and that targeted packages of support are constructed. Rigorous process and procedures are in place to ensure the referral from a school is appropriate and these are supported by numerous checks and balances. Information-gathering exercises, involving all relevant stakeholders, underpin the referral process, and focus on Common Assessment Framework (CAF) and Team Around the Child (TAC) meetings. *If a school has got to the point of permanently excluding a child, there should be a CAF in place ... They will not walk through the door if we haven't been invited to a TAC and a CAF hasn't been set up.* Once school staff have decided to refer a pupil to the PRU, the process requires the school to initiate a TAC meeting, attended by a senior member of PRU staff. The PRU then requests data relating to the pupil's prior attainment and background information on behaviour, existing intervention and other support needs. PRU staff conduct a home visit, and hold an admissions meeting. As a result, the assessment process is well under way before the pupil enters the PRU. Once the PRU has agreed to accept the referral, the school then commissions the place, based on the conditions of a standing collective agreement between local schools to fund the PRU to deliver AP and support on their behalf. Further assessments take place, including academic assessment, to

	determine the pupil's situation and to establish the nature of the journey that pupil is going to take whilst they are at the PRU. Appropriate exit strategies are also devised and agreed with other stakeholders, including schools.
Evidence and outcomes	Increased data exchange means that PRU staff are better informed about the needs and situations of pupils. As a result, more relevant and effective portfolios of provision can be developed through the direct, on-site delivery of the core curriculum, and through commissioning of other provision, to support pupils' engagement. *Behaviour always improves because we're very good at identifying and meeting unmet needs. That's generally where these behaviour issues come from ... The curriculum is vital as well – they have to be doing something that interests them, and is of relevance to their futures. Give them the right package in the right environment with the right support, and they'll engage and behave. We have to know what will interest them, then we can put it in place.*
Key learning points	The success of this approach stems from commissioners and providers committing to meet the wider needs of a pupil as an essential basis for securing wider, core outcomes in relation to attendance, behaviour and attainment. This supports the collective acknowledgement that effective data transfer is essential to put the most appropriate provision in place, and underpins the referral process. Initially, some schools in the area were reluctant to engage in information-gathering and sharing exercises, including the CAF process, as a result of the amount of time required. Continued relationship development, and an insistence by the PRU that a referral could not take place without this step, have ensured that all schools now engage fully.

Illustrative example 6: Monitoring, assessment and quality assurance of external providers

Context and rationale	In this trial LA, the PRU acts both as a provider and purchaser of AP. Local schools commission places at the PRU to support pupils who have been identified as requiring longer-term support, (for up to two years) although they generally remain dual registered with their home school. The PRU provides a core academic curriculum and a vocational offer delivered through the commissioning of external providers. There is a well-developed framework of providers offering a wide range of accredited vocational opportunities and the PRU has developed rigorous systems and processes to monitor and QA this provision, reflecting the increased accountability of the PRU to its commissioners. This has been compounded by the emergence of new providers in the local market, adding an increased element of competition to the PRU.
The practice/approach	Pre-commissioning quality checks

The providers commissioned by the PRU are subject to a range of checks and scrutiny processes prior to, and during, their relationship with the PRU. This administrative-based project entails initial oversight of the relevant policy literature including health and safety, child protection and insurance documents. The PRU does not hold copies of these but reviews them annually at the providers' premises. All providers wishing to be commissioned by the PRU are required to be certified by a relevant awarding body. 'So we know that they are of a certain quality prior to us commissioning them'.

Commissioning relationship underpinned by a SLA

Once the PRU staff are satisfied that the prerequisite policies and standards are in place, a generic SLA, that has been agreed and QA'd by LA contracts/legal services, is established. This document sets out details of the 'client group', the 'types of pupils that we work with', the contract price, what the cost of the provision covers, for example, personal protection equipment, lunches and transport. The agreement also includes details of the level and nature of provision offered and expected pupil outcomes.

Ongoing review of performance

Following the commissioning of a provider, the head of PRU and the |

	curriculum manager conduct six-monthly reviews of all providers to ensure that previously agreed performance targets have been met and future targets are negotiated.
	Tracking pupil progress
	Providers are required to complete a pro-forma on a weekly basis, including details of pupils' attendance and attainment. Senior members of the PRU staff review this document.
	External verification
	Providers commissioned by the PRU are subject to external verification, as off-site providers through the PRU's Ofsted inspection process, and also through their relevant awarding bodies.
	They also have internal and external verifiers that go in and ensure that the qualifications are being delivered and are being delivered correctly. BTEC or Edexcel, etc. – the providers are ambassadors for that awarding body so they do a lot of checks themselves.
Evidence and outcomes	Increased monitoring and QA of external providers has led to improvements in the extent to which stakeholders are made aware of, and are able to respond to, problems within a provision. Weekly reports from providers support the PRU's operation of a traffic light system for monitoring pupils' progress, leading to the instigation of the LA-wide graduated response system to behaviour and attainment if necessary. Steps are taken to identify the cause of the problem, provide necessary support and adjustment, or, if necessary, arrange provision through a different provider. In this way, the monitoring approach has ensured that pupils remain engaged with, and are making agreed progress through attendance at the external provision that is most appropriate for them.
	Regular ongoing discussion between PRU staff and providers ensures that progress is being made towards agreed targets for pupil outcomes. Underpinned by a SLA, there have been instances where contracts have been terminated when providers have not delivered the appropriate quality provision, reinforcing the accountability in the system.
Key learning points	Improved monitoring processes have been facilitated and underpinned by cooperation and a collaborative approach between

commissioners and providers.

The PRU's curriculum coordinators and vocational leaders have good links and regular communication with provision staff that support information exchange and have encouraged provider staff buy-in. The closer links between academic and vocational curriculum delivery have been developed, involving PRU staff going out off site to deliver units and teach academic content away from the PRU site.

The improved monitoring and QA mechanisms have reinforced accountability within the AP sector in the area. This has been enhanced by the appointment of the managing director of one of the most successful providers to the PRU management committee. Opportunities to develop mutual understandings, the priorities of the PRU, mainstream schools and AP providers has led to a 'raising of the game' in terms of locally available provision.

[Provider] *now knows why headteachers are pushing for three levels of progress for their pupils and he can ensure that his provision helps with this.*

The emergence of new providers in the area, including free schools, have provided headteachers with more choice of provision for at risk pupils. As a result, the PRU and the providers it commissions have responded by ensuring that they deliver the high quality provision required by schools.

We have good relationships [between PRU and AP providers] *because we have to. We have to ensure that what is being delivered off site is just as good as they would be getting on site ... the local headteachers have a lot of choice – they don't have to use us* [PRU].

Illustrative example 7: In-house provision to support vulnerable pupils

Context and rationale	Within this trial LA, one secondary school in particular had developed a strong commitment to inclusion and pastoral support for its pupils, a central element of which is a dedicated centre for pupil support. This provision evolved against a background of a high number of pupils classified as NEETs on leaving the school, as well as a large number of pupils that were at risk of exclusion.
	There was a whole range of issues – criminality, child protection issues. They were NEET – they were going to get no GCSEs.
	Senior leaders in the school decided that the existing provision failed to address the root causes of problems. 'We had a LSU where naughty children were sent for between one day and six weeks – they were not allowed into the school. This approach doesn't work'. A holistic approach to identifying pupils' vulnerabilities, and providing the appropriate support, was developed to change the pathway of the school, underpinned by a 'mission to address the needs of those children to prevent them being permanently excluded and to offer them a worthwhile education'.
	Participation in the trial is seen as a means of enhancing the school's commitment to its pupils and increasing control over the nature and quality of provision these pupils access.
The practice/approach	The centre supports the individual needs of all pupils through the creation of bespoke packages of provision, interventions, alternative curriculum and pathways, generally delivered in house and on site with very little external provision commissioned. A central element of the approach is that the school looks to itself and its partners/stakeholders (including the wider parent/carer community) to find opportunities for supporting all its pupils, not just those identified as being at risk of exclusion.
	Early identification and intervention
	The centre offers an alternative to the traditional 'crisis intervention' or provision of last resort model for vulnerable pupils, by strategically identifying pupils at 'the youngest age' possible. The support staff members work with the pupils identified as benefiting from AP as well as with the younger pupils in the school who are regarded as being vulnerable in some way. Effective collection and

	interrogation of data is central to the approach, whereby senior leaders scrutinise information on a database to identify patterns of behaviour and performance to highlight and address the barriers to their learning.
	Range of pathways
	For pupils who would previously have been at risk of exclusion, appropriate pathways are put in place, which may culminate in some pupils continuing their education in the centre itself, with subject teacher support if 'there's a disaffection there that means they can't go back into the classroom'.
	Pupils identified as being more highly disengaged, generally in year10, are offered a package of AP that may entail a combination of school and college provision, or engagement with different agencies to provide them with a more work-based environment. Even in this situation, the school aims to maintain a connection with the pupil:
	We'll try to keep them engaged with school one day a week but the other four they'll be off doing something that will support their future career.
	Range of support
	Support and intervention delivered through the centre entails access to a wide range of external agencies, including social services, CAMHS, Youth Offending Teams (YOT) and domestic abuse-related provision to support the whole family, not just the pupil, in (re)engaging with the school and education.
	We are multi-agency based within the centre – we have a number of partners working with us. There's always someone we can get hold of if we can't deliver the appropriate support ourselves, in house. We will bring in other external partners. We don't commission a lot of commercial providers, but we do have a lot of support from a network of partners and agencies.
Evidence and outcomes	Exclusions and inclusion
	The school has operated a non-exclusion approach that has resulted in no permanent exclusions for the past nine years.

	We developed the idea of inclusion for everybody. Even children who are on alternative pathways are still in contact with school. They come into school if they are out on placement – so they know that they have a physical base, which is the school. They are always a part of the school, they're not alienated and feel as if they're not wanted or forgotten – they always know that the safety net is always there. Even past sixth form, they know they're always welcome to come back here for help and advice. Pupil outcomes and achievements Senior managers in the school suggest that attendance has increased through pupils' engagement with the centre and the support and intervention delivered in or through this provision has led to pupils achieving positive outcomes and not becoming NEET. *For the last couple of years, all the pupils we've had on an alternative pathway, have all gone on to employment or training on leaving school, who would have been excluded. None of them have become NEET. They all had their maths and English in school and we try and get as many other recognised vocational and academic qualifications for them as we can.*
Key learning points	The support centre's status within the school The centre is integrated into, and reflects the inclusive ethos of the school. It is not viewed or used as a last resort for 'problem' pupils. Bespoke support packages The approach is not based on a 'one size fits all' conceptualisation of providing support for pupils. Pupils can access the provision for as long as is required, accessing the academic, vocational, social and emotional support that they require to re-engage them in main school classroom situations, to carry on learning in the centre, or to access another appropriate pathway. Data gathering and monitoring, including initial home visits by staff, underpin this approach to ensure that the needs of the pupil, and often, the wider family, are understood at the outset to act as a basis for constructing the most suitable package of support. Holistic nature Support and intervention provided through the centre are not just

	limited to the pupil and the school context, as one of the core principles is to identify and meet pupils' wider needs, often involving family-related issues. Through the centre, the school takes these on board and either directly provides support/intervention, or signposts and facilitates the involvement of relevant support agencies.
	The holistic approach is key – it is not just about naughty children, it is not just about getting GCSEs. It is the whole approach, the families, the siblings. There can be many reasons why a child doesn't fit in to mainstream school.
	Longer-term focus
	The nature of the centre and its focus on early intervention, rather than crisis management, means that in the context of a longer view, a strategic approach to meeting pupils' needs can be taken to help prepare them to achieve positive outcomes.
	We use the centre basically to market these pupils for their futures – we work hard to put provision in place to develop their life skills and work skills – everything they'll need to succeed when they leave.

Illustrative example 8: School cultural shift in supporting vulnerable pupils through in-school provision

| Context and rationale | A large secondary school in a trial LA, whilst not operating a zero permanent exclusion policy, has transformed its approach to exclusion. This followed the school leadership's view that excluding pupils does not address the causes of their problems and does not provide a long-term solution. School representatives spoke of a 'culture shift' in the school moving away from the previous approach whereby recourse to exclusion was almost an 'automatic' response to a particular set of circumstances or patterns of pupil behaviour.

We seemed to have developed a culture where staff expected that if a student did 'this' then they would expect an exclusion from school almost to make the member of staff see we were taking it seriously and that we didn't think that was acceptable behaviour. We noticed that it was the same students getting excluded over and over again.

Concerns over the number of school days lost due to fixed- term exclusions and the recognition that a small number of pupils accounted for a large proportion of these exclusions led the school to revisit its approach. This involved maintaining the internally excluded pupils in school, on site, but separated from their peers through a reorganisation of their school day, reducing opportunities for interaction with their peers, and learning in isolation.

They are not coming to schools with their friends ... they are not going home with their friends and they stay in isolation all day within school and they do work that we set them. So they are still in school, they are still learning, it is a punishment from social time with their friends and we think that is a better way of dealing with students instead of saying have a day off.

The internal exclusion approach was implemented alongside the restructuring and reorganisation of the school's pastoral approach, through which the school is now considered to have the relevant mindset, resources, staff capacity and staff expertise to focus on the early identification of need, and implementation of preventative measures when necessary. |
|---|---|

	In addition to strong on-site provision, the school is integrated into the local behaviour partnership and participates in managed moved arrangements. Targeted packages of AP support are commissioned through the PRU – all of these elements mean that pupils are supported to attend school more, behave more appropriately when they are there and are thus better equipped to engage in learning.
The practice/approach	The school promotes a multi-strand approach to both avoiding, and providing alternatives to, fixed-term and permanent exclusions. This is underpinned by a structural reorganisation and enhanced availability of specialist pastoral support. Behaviour management systems revolve around an on-call system and a 'four strikes and you are out kind of policy within lessons', including a member of the leadership team going out to the lesson, talking to the pupil to encourage improved behaviour in the classroom. A further incident will result in the pupil being removed to the pastoral manager, who oversees pupils' behaviour records and can identify emerging patterns. Based on information and data, the pastoral manager then feeds into the school's two on-site provisions for further intervention if necessary. These two provisions, based in centres, which have distinct roles and remits, are both designed to overcome the barriers that vulnerable pupils, and those at risk of exclusion, face to successful engagement with mainstream education.

The first centre provides a range of support, staff and opportunities for supporting vulnerable pupils to re-engage with school and learning and to function effectively in the classroom setting. This includes providing a base for the school counsellors, and pupils are free to visit the centre and discuss problems and concerns throughout the school day.

Referral to this provision does not occur on an ad hoc basis so as to ensure that its provision is accessed by the most appropriate pupils for the most appropriate reasons. The centre offers an environment particularly well suited to assisting pupils' phased reintegration into mainstream lessons, following a managed move or as a means of addressing poor attendance, and for removing barriers to learning.

A young man in year eight who had got ADHD ... by the afternoons he really just wasn't coping in lessons. So I arranged every last lesson in the afternoon for him to go and take his class |

	work to the centre where it was a smaller more controlled calmer environment where there are teaching assistants on hand to help him and he could get through the school day much better than bouncing in and out of lessons because of the situation he was in. In addition, external, vocationally based AP packages and pathways for KS4 pupils experiencing higher levels of disengagement are organised through the centre. The second provision was established as a response to meeting the needs of a small cohort of pupils presenting with behaviour-related issues that would have culminated in permanent exclusion. At the time, the PRU was unable to offer appropriate support, so the school developed an in-house unit to provide the educational, social and emotional intervention required to maintain these pupils in education, in the school.
Evidence and outcomes	The effectiveness of the approach is demonstrated by reductions in the use of both fixed-term and permanent exclusions whilst also raising the behaviour profile in the school. *You are talking 80 per cent* [reduction] *in terms of days of fixed-term exclusion because we rarely do any. We have got children in the school and yet our behaviour in school has gone from being judged satisfactory to good by Ofsted, so those changes weren't made to the detriment of learning within school.*
Key learning points	School staff highlighted the importance of information collection and data tracking to identify at risk pupils and patterns of behaviour across the school before issues escalate in frequency and seriousness. The school's approach is characterised by a more coordinated oversight of the whole-school situation so that incidents and trends are less likely to go undiscovered. The approach to supporting vulnerable and at risk pupils has been transformed to focus on early intervention and addressing the range of needs that underpin challenging behaviour. *I think all schools would acknowledge the earlier they intervene the more likelihood of success. We identify students from our nurture groups with discussion from the primary schools and who they think has got issues and information coming through from primary level.*

Illustrative example 9: Area-based key stage 3–4 Alternative Provision commissioned through a secondary academy's subsidiary provision

Context and rationale	Prior to the trial a number of secondary head teachers in a large LA were becoming increasingly concerned about the quality of AP available to them: 'Ofsted shared that view and we felt that we could do something, as a group of high schools, better.' At the same time, the LA was beginning to put out money from centrally held behaviour funding to local area partnerships to provide their own AP.
The practice/approach	Structure and operation One area partnership took responsibility for the staffing, funding and operation of the LA PRU in this district. These responsibilities were then transferred to the academy, as the partnership began to devolve its funding (received from the LA) to the schools themselves. The provision now operates as a subsidiary company of the academy, charging its commissioning schools on a per-place basis. The provision consists of a KS4 offer, based on vertical groupings where pupils access Entry Level, Level 1 and Level 2 qualifications (in the case of year 11 pupils). KS3 pupils, including those undergoing the statutory assessment process, are offered a range of long-term support. Curriculum content and activities The provision offers pupils a range of core skills qualifications, centered on maths, English and ICT, alongside a BTEC work skills course 'because we wanted to look at the wider world of work and preparing students for that future'. External, vocational provision is commissioned for year 11 pupils, and all pupils access personal, social and health education (PSHE) and enrichment activities designed to tackle the barriers to learning they face. The overall package of support and curriculum content for individual pupils is discussed and agreed with them prior to their commencement at the provision.

	Leadership and oversight of provision
	The provision is responsible to a Senior Leadership Group comprising the local secondary headteachers, the provision head and the head of the local partnership, via termly meetings. Schools have a significant role within the commissioning structure/arrangement over and above just acting as purchasers of places because of their involvement in the partnership. Schools are said to have 'a seat at the table around how the place is run', so contributing to the effective monitoring, QA and accountability of the provision.
	Contractual arrangements underpin school/provision relationships
	'A long laborious legal process' has been said to have culminated in the development of 'a very tight contract that looks after both sides', covering areas such as:
	- hours of tuition to be provided; - qualification pathways available; - attendance expectations of pupils; - the QA of all externally sourced AP accessed by pupils whilst attending the provision; - half-termly assessment meetings to discuss academic provision; - appropriate timeframes for transfer from school to provision which allow a swift transfer whilst ensuring adequate time for effective needs assessments to be carried out.
Evidence and outcomes	Increased accountability for pupil outcomes
	This approach has increased schools' responsibility for their pupils: this heightened sense of responsibility has led to additional pressure on the provider to deliver the outcomes required by schools, especially in terms of generating academic outcomes for which the school will be held accountable. The collaborative underpinnings of the commissioning arrangements make all the stakeholders involved have a vested interest in ensuring that the provision secures the optimum outcomes for its pupils.

	The kids stay on school roll, school retains responsibility for them in all ways apart from day-to-day provision and the points will fall back into the school numbers. That's an incredibly important cycle really. It means the schools can't fire and forget – kick kid out and not worry about it. *The provision is continually under pressure to improve ... School heads are pushing* [the head of the provision] *all the time about how many points are the kids getting.* Pupil outcomes Stakeholders, including commissioning school representatives, suggest that the provision has been effective in giving pupils access to the range of input, support and intervention required to prepare them for successful transition (either post-school or reintegration). Notwithstanding schools' drive to ensure high academic outcomes, there is recognition and 'pragmatism' amongst headteachers that pupils attending the provision are generally high tariff and present with considerable previously unmet needs. *I think that* [the provision] *has wended a very successful path between giving the kids the social skills and the enrichment opportunities and also providing them with meaningful qualifications which take them onto a next step.*
Key learning points	Contractual arrangements and links with mainstream Schools' high levels of commitment to the partnership are key elements of the success of this approach to delivering AP. The mutually beneficial contractual arrangements that have been developed ensure stability for the provider and commissioners. This gives the provider a degree of confidence that its funding will remain stable for two years (to facilitate planning). The commissioning schools have a degree of influence over the provision through their representation on its leadership group and their receipt of regular progress reports and evidence of impact through their role as purchasers. Connections with the mainstream sector were also seen to have improved pupils' understanding and experience of the provision, by modelling the approach on that of mainstream school.

The message that the students get when they come here is that this is school for them and we still work with school, they see that happening because they see their school representatives coming in and having meetings with them.

Role of the academy

The strong links between the academy and the provider have added a further dimension in the quality and effectiveness of the AP. This stems from the opportunities for cross-sector learning and support that helps to bridge the gap between 'mainstream' and 'alternative' education sectors. The provision is modelled as an educational establishment, 'not a holding pen', underpinned by the expectations of a mainstream school.

This would not have worked without [academy] *stepping in as a mainstream school provision and being linked to the centre. The big failing that I saw when I came into PRU provision as it was, was that these places had worked completely in isolation.*

That's been the driving force behind it and setting those high expectations when the children come in, high expectations for the children and the staffing as well. That's what we're about, about getting some quality intervention and some quality results for our students as they come here – that's what we're here to do.

Close links with the mainstream academy have also been seen as effective in supporting the provision's staff recruitment, retention and development, highlighting that 'we are branded together with a school and we are about schooling'.

When people come for interviews we make it very clear that they will have professional support and we will send people out on appropriate courses and training. The SENCO who has just started here has had the opportunity to spend half a term in [the academy] *looking at practice in mainstream provision so that she is able to work alongside staff there.*

Experience of staff

The provision is effective because of the way it is structured and operated, with leadership and direction coming from senior staff with mainstream school backgrounds. The provision is described as being 'a product of system leadership

– it's people within the system that have developed and driven this', including the transfer of skills that have been built up working in schools, to an 'alternative' setting.

Ethos and vision

The provision is grounded on high expectations about the pupils' ability to achieve:

When I embarked on setting up the centre I was very clear about the vision for this and what we were here to deliver and the belief that these students can achieve, would achieve, and we will help them to achieve it if it is the last thing we do. It's part and parcel of what all the staff do here on a daily basis and they come to work and they have that clear vision.

The ethos of the provision has been built around a school identity and a focus on learning, underpinned and maintained by the introduction of half-termly assessments with reviews at which pupil, parent/carer and school representatives attend to discuss the academic progress of the pupil. This was identified as being a highly important driver which has made a real difference to the progress pupils made whilst attending the centre, and in 'changing the culture of the PRU'.

Challenges

A key challenge arose from the initial organisational and structural issues involved in establishing an appropriate legal vehicle or framework through which the provision could operate. The onset of the trial, and the delegation of LA funding, provided the opportunity to work through the area partnership, and become a subsidiary company of the academy.

The provision faced the challenge of pupils presenting with higher levels of need than had been anticipated, and initial plans of offering short-term, turnaround intervention to return pupils to mainstream school, proved to be inappropriate. The nature of the curriculum content and structure on offer was reorientated accordingly, with a longer-term focus as a central driver.

We have shaped things in a different way and the trial has enabled us to do that ... we have been able to do a five day a week provision for those students now.

Illustrative example 10: Area-wide approach to inclusion based on a commissioned provision with a heavy focus on restorative work, early intervention and prevention

Context and rationale	In this authority, funding has been devolved from the LA to a number of local area partnerships, comprising clusters or families of five to ten primary and associated secondary schools. These partnerships have responsibilities for meeting the needs of pupils in their geographical areas. In one particular district, the partnership commissions a single provider to deliver support for all vulnerable and at risk pupils.
The practice/approach	This approach was pioneered in 2007 with the development of an early identification and intervention strategy, initially focusing on key stages 1 and 2. Through a service level agreement, the partnership commissions a local special school to provide its inclusion service for both primary and secondary pupils on the basis of the school's track record of supporting pupils, its background in behaviour and inclusion, its well-developed infrastructure and relationships with parents/carers.
	Content
	The initial rationale was to facilitate a team around the child approach to improve behaviour, attendance, and outcomes for pupils, families and schools by supporting pupils to remain in their schools and avoid exclusion. During its operation, the provision has developed a tailored, flexible curriculum encompassing teaching and learning through the National Curriculum and the provision of strategies, for pupils to break the patterns of negative behaviours they may show at school or at home, and opportunities to feel more positive about themselves.
	The provision offers a suite of intervention and support required by schools, clusters, families and agencies and has a focus on early identification and intervention, including some short-stay provision: 'that's usually enough to buy a school some time to think about alternatives to permanent exclusion'. In a small number of cases, pupils who exceed the tariff of need that local provision can provide for, are educated in the LA PRU, with individual schools commissioning these places directly.

	The provision has undergone change and development over time, responding to the increasing scale of identified needs. In 2009, the provision was delivered by one teacher and two learning guides. In 2013, 20 individuals are involved: including teachers, learning guides, family and outreach workers, therapists and strategic leads/managers. The provision now encompasses a significantly expanded range of intervention programmes and activities across a number of school-based and other locations.
Evidence and outcomes	Increased accountability for the commissioned provider The commissioned provider is held accountable for the intervention it delivers through the structure of the commissioning body, the local partnership. Representatives from the local school clusters attend the partnership board meetings and consider the provider's performance, through analysis of management information data in terms of intervention provided, number of pupils supported, and outcomes generated. A two-year, post-intervention tracking system has been developed to monitor the longer-term impacts of the provision. In this way, the provider is constantly challenged to ensure that its offer 'mustn't be about respite, it has to be about change' for pupils. Through data tracking the provision can demonstrate that there are now lower levels of re-referrals for support and swifter signposting to statutory agencies where necessary. Increasingly school-led approach to the partnership leadership This approach is also demonstrating the increasingly school-led nature of the local partnership with a considerable reduction in the LA's role towards being one of central oversight. Increase in schools' commissioning skills The LA has been proactive in supporting individual schools and local partnerships to increase their capacity to take on the commissioning role themselves. This has entailed LA commissioning staff talking to headteachers collectively and providing training as they embark on the process of specifying needs they want to meet through purchasing support and

| | intervention from a range of sources, including PRUs, private sector, charities or the third sector. Over the coming year, schools will have developed a clear specification in terms of the services they require, and will have developed the appropriate approach to commissioning them.

Over the last 12 months where pressure has come on from Ofsted around narrowing the gap around vulnerable groups [school leaders] *are more conscious about the value of AP in terms of points. That has turned them into commissioners, not procurers. They are thinking now in a structured way – 'what do we want to achieve, how much have we got to spend, how to spend most cost effectively, how to manage contracts we enter into to deliver outcomes?'* |
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| **Key learning points** | Strong partnership

The success of the commissioned provider approach was underpinned by a strong commitment to the partnership from constituent school heads and from the strong leadership drive from the partnership chair. These factors, combined with the 'outstanding special school with track record around behaviour and a head who wanted to serve the partnership' led to the development of opportunities for joint working within the clusters and provided a platform for good communication and collaboration eliminating duplication of provision and inappropriate re-referral. |

Appendix 2 Technical appendix

Multilevel models were used to determine whether there was a significant difference between pupils in trial and comparison schools in terms of the outcomes listed below:

- **Attainment**
  - key stage 3 average point score
  - key stage 4 total point score and the number of Level 1 (A*-G) and Level 2 (A*-C) GCSE examination passes
- **Exclusions**[7]
  - number of fixed-period exclusions
  - length of fixed-period exclusions
- **Absences**
  - whether persistently absent or not
  - number of unauthorised absences.

The most recent data available was used for the outcome measures; attainment from 2012–13, exclusions from 2011–12 and absences from 2012–13.

Data pre-dating the trial (2010–11) (for example, prior attainment and exclusion and absence history) was used for background variables, so that pre-existing differences (before the trial) between schools and pupils could be accounted for. Any subsequent differences (since the start of the trial) are measured by the outcome variables.

Multilevel models were used as the data was clustered; pupils were grouped within schools. The models were a mixture of normal models (for continuous data, e.g. KS4 point score), logistic models (for binary data, e.g. a persistent absentee) and Poisson models (for count data, e.g. the number of sessions of unauthorised absences).

Two sets of models were run, one containing data on pupils deemed to be at risk of exclusion (either listed on the PPF by the school or predicted to be at risk by previous statistical modelling) and another containing data on all pupils in all trial and comparison schools. Models of the at risk pupils were to determine whether the trial had an effect on pupils who were considered to be at risk. Models on all pupils were to determine the effect of the trial on the whole school.

The variable 'trial' tests whether there are significant differences between pupils in the trial schools compared to those in the comparison schools. The variable 'in PPF' identifies pupils that were listed by the school as being at risk of exclusion. It is likely

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[7] Numbers of permanently excluded pupils were too small to model.

that these pupils have received some earlier intervention and so the 'in PPF' variable takes account of and tests for any possible differences in their outcomes compared to their peers.

While the sample of comparison schools was drawn to be as similar to the trial schools as possible, there will inevitably be differences in the schools and the composition of their pupils. In order to attribute any differences in outcomes to the trial, and not any differences in the groups of schools themselves, it was important to take account of as many of these possible differences as possible by including measures in the models, by controlling for these differences. We controlled for the differences in pupil background characteristics, prior attainment and prior attendance and exclusion history, and for differences between the schools in terms of school characteristics and schools' historical exclusion record. This way we were comparing like for like as much as we could.

The following variables were used as background variables in the modelling. With the exception of the trial and PPF variables, all non-significant variables were removed from the models, so only significant associations are tabulated.

Table 30 A1 Variable descriptions

Variable	Label
Trial	School is a trial school
in PPF	Pupil listed on PPF as 'at risk'
ks2av1	Pupil's key stage 2 average (centred)
Female	Female
FSM	Pupil eligible for free school meals
EAL	English as an additional language
perm11	Pupil has been permanently excluded at least once in 2010–11*
Fixed11	Pupil has been excluded at least once in 2010–11*
FIXEDn11	Number of fixed-period exclusions in 2010–11*
FIXEDs11	Length of fixed-period exclusions in 2010–11*
Sensa	Special Educational Needs – School Action/Plus
Senstat	Special Educational Needs – Statement
Whitoth	Ethnicity – White non-UK
Gypsy	Ethnicity – Gypsy/Roma
Ethmix	Ethnicity – Mixed
Asiani	Ethnicity – Asian Indian
Asianp	Ethnicity – Asian Pakistani
Asianb	Ethnicity – Asian Bangladeshi
Asiano	Ethnicity – Asian Other

Blackc	Ethnicity – Black Caribbean
Blacka	Ethnicity – Black African
Blacko	Ethnicity – Black Other
Chinese	Ethnicity – Chinese
Ethoth	Ethnicity – Other
Mobile	Postcode changed between spring censuses (before start of trial)
IDACIC	IDACI – measure of social deprivation (centred)
year8	Year 8
year9	Year 9
year10	Year 10
year11	Year 11
year12	Year 12
KS4avSch	School average key stage 4 total point score
pcFSM12	% pupils in school eligible for free school meals (2011–12)
pcSENSAP12	% pupils in school with Statement of SEN or on School Action Plus 2012
pcWBR12	% pupils in school who are white British 2011–12
pcEAL12	% pupils in school with English as an additional language 2011–12
n99	Number of pupils in school (school size)
OverallEffectiveness	Latest Ofsted overall effectiveness judgement (2012)
OFSTEDAchieve	Ofsted rating 2012 – Achievement of pupils
OFSTEDLearner	Ofsted rating 2012 – How well do learners achieve
OFSTEDbehaveSafe	Ofsted rating 2012 – Behaviour and safety of pupils
OFSTEDTeaching	Ofsted rating 2012 – Quality of teaching
OFSTEDLeadership	Ofsted rating 2012 – Leadership and management
Schfpe	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
Schprm	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
Rural	Rural school (compared to urban)
comp16	Comprehensive school to 16
comp18	Comprehensive school to 18
Grammar	Grammar school
secModern	Secondary modern school

* Data relates to school and pupil differences **before** the trial.

Tables for models of at risk pupils

Table 31 Key stage 3 average point score

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	5.326	0.027	*	Constant
trial	0.024	0.051		School is a trial school
inPPF	-0.608	0.199	*	Pupil listed on PPF as at risk
rural	0.131	0.040	*	Rural (compared to urban)
grammar	1.049	0.230	*	Grammar school
ks2av1	0.466	0.007	*	Pupil's key stage 2 average (centred)
female	-0.044	0.018	*	Female
FSM	-0.067	0.013	*	Pupil eligible for free school meals
FIXEDn11	-0.056	0.007	*	Number of fixed-period exclusions in 2010–11*
sensa	-0.223	0.017	*	SEN – School Action/Plus
senstat	-0.276	0.045	*	SEN – Statement
whitoth	0.074	0.031	*	Ethnicity – White non-UK
gypsy	-0.360	0.093	*	Ethnicity – Gypsy/Roma
ethmix	0.129	0.026	*	Ethnicity – Mixed
asiani	0.127	0.064	*	Ethnicity – Asian Indian
asianb	0.189	0.060	*	Ethnicity – Asian Bangladeshi
asiano	0.273	0.058	*	Ethnicity – Asian Other
blacka	0.116	0.031	*	Ethnicity – Black African
chinese	0.551	0.196	*	Ethnicity – Chinese
ethoth	0.170	0.050	*	Ethnicity – Other
IDACIC1	-0.169	0.047	*	IDACI – deprivation (centred)

* Data relates to school and pupil differences **before** the trial.

Table 32 KS4 total point score

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-26.800	18.140		Constant
trial	-7.535	5.599		School is a trial school
inPPF	-97.020	9.574	*	Pupil listed on PPF as at risk
ks2av1	56.530	2.050	*	Pupil's key stage 2 average (centred)
female	-9.150	3.826	*	Female
FSM	-17.810	3.166	*	Pupil eligible for free school meals
EAL	51.890	5.305	*	English as an additional language
FIXEDn11	-16.770	1.714	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	-0.821	0.299	*	Length of fixed-period exclusions in 2010–11*
sense	-30.070	3.323	*	SEN – School Action/Plus
senstat	-25.400	8.518	*	SEN – Statement
ethmix	32.890	5.518	*	Ethnicity – Mixed
asianp	35.090	10.530	*	Ethnicity – Asian Pakistani
asianb	34.030	15.440	*	Ethnicity – Asian Bangladeshi
blackc	44.430	6.969	*	Ethnicity – Black Caribbean
blacka	53.640	7.710	*	Ethnicity – Black African
blacko	63.500	12.750	*	Ethnicity – Black Other
Mobile	10.120	3.532	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	-69.990	14.510	*	IDACI – deprivation (centred)
IDACIC2	147.400	45.690	*	IDACI – deprivation (centred) squared
KS4avSch	0.871	0.032	*	School average key stage 4 total point score
pcFSM12	0.951	0.221	*	% pupils in school eligible for free school meals (2011–12)
n99	-0.018	0.006	*	Number of pupils in school (school size)
schfpe	83.510	30.170	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
schprm	3068.000	896.400	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
comp16	-11.800	4.691	*	Comprehensive school to 16

* Data relates to school and pupil differences **before** the trial.

Table 33 Number of KS4 Level 1 passes (GCSEs at A*-G)

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	1.282	0.423	*	Constant
trial	-0.245	0.165		School is a trial school
inPPF	-2.464	0.230	*	Pupil listed on PPF as at risk
KS4avSch	0.020	0.001	*	School average key stage 4 total point score
n99	0.000	0.000	*	Number of pupils in school (school size)
schfpe	2.717	0.728	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
schprm	72.200	21.990	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
ks2av1	0.907	0.049	*	Pupil's key stage 2 average (centred)
female	-0.347	0.091	*	Female
FSM	-0.405	0.075	*	Pupil eligible for free school meals
EAL	1.063	0.123	*	English as an additional language
FIXEDn11	-0.426	0.041	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	-0.024	0.007	*	Length of fixed-period exclusions in 2010–11*
sensa	-0.578	0.079	*	SEN – School Action/Plus
senstat	-0.840	0.203	*	SEN – Statement
ethmix	0.585	0.131	*	Ethnicity – Mixed
asianp	0.636	0.249	*	Ethnicity – Asian Pakistani
blackc	1.022	0.167	*	Ethnicity – Black Caribbean
blacka	1.169	0.182	*	Ethnicity – Black African
blacko	1.347	0.304	*	Ethnicity – Black Other
IDACIC1	-0.623	0.239	*	IDACI – deprivation (centred)

* Data relates to school and pupil differences **before** the trial.

Table 34 Number of key stage 4 Level 2 passes (GCSEs at A*-C)

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-3.458	0.461	*	Constant
trial	-0.097	0.154		School is a trial school
inPPF	-1.950	0.224	*	Pupil listed on PPF as at risk
KS4avSch	0.020	0.001	*	School average key stage 4 total point score
pcFSM12	0.038	0.006	*	% pupils eligible for free school meals (2011–12)
n99	0.000	0.000	*	Number of pupils in school (school size)
schfpe	1.815	0.764	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
schprm	66.690	23.050	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
comp16	-0.390	0.120	*	Comprehensive school to 16
ks2av1	1.337	0.045	*	Pupil's key stage 2 average (centred)
FSM	-0.323	0.073	*	Pupil eligible for free school meals
EAL	1.113	0.124	*	English as an additional language
FIXEDn11	-0.391	0.025	*	Number of fixed-period exclusions in 2010–11*
sense	-0.630	0.073	*	SEN – School Action/Plus
ethmix	0.809	0.128	*	Ethnicity – Mixed
asiani	0.816	0.379	*	Ethnicity – Asian Indian
asianp	0.771	0.245	*	Ethnicity – Asian Pakistani
asianb	0.863	0.358	*	Ethnicity – Asian Bangladeshi
blackc	0.774	0.162	*	Ethnicity – Black Caribbean
blacka	1.131	0.179	*	Ethnicity – Black African
blacko	1.295	0.294	*	Ethnicity – Black Other
Mobile	0.279	0.081	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	-1.442	0.336	*	IDACI – deprivation (centred)
IDACIC2	3.256	1.058	*	IDACI – deprivation (centred) ^2

* Data relates to school and pupil differences **before** the trial.

Table 35 Rate of unauthorised absences

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-5.1410	0.2855	*	Constant
Trial	0.0196	0.0982		School is a trial school
InPPF	0.5228	0.0110	*	Pupil listed on PPF as at risk
year9	0.4052	0.0051	*	Year 9
year10	0.7426	0.0052	*	Year 10
year11	0.9449	0.0053	*	Year 11
ks2av1	-0.0716	0.0019	*	Pupil's key stage 2 average (centred)
Female	0.4606	0.0038	*	Female
FSM	0.3519	0.0036	*	Pupil eligible for free school meals
EAL	-0.1967	0.0084	*	English as an additional language
Fixed11	-0.2245	0.0050	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	0.0667	0.0021	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	0.0088	0.0004	*	Length of fixed-period exclusions in 2010–11*
Sensa	-0.0376	0.0039	*	SEN – School Action/Plus
Senstat	-0.0951	0.0096	*	SEN – Statement
Whitoth	-0.0207	0.0103	*	Ethnicity – White non-UK
Gypsy	0.2973	0.0158	*	Ethnicity – Gypsy/Roma
Ethmix	-0.2042	0.0068	*	Ethnicity – Mixed
Asiani	-0.5785	0.0257	*	Ethnicity – Asian Indian
Asianp	-0.4277	0.0138	*	Ethnicity – Asian Pakistani
Asianb	-0.7227	0.0200	*	Ethnicity – Asian Bangladeshi
Asiano	-0.6952	0.0241	*	Ethnicity – Asian Other
Blackc	-0.8037	0.0098	*	Ethnicity – Black Caribbean
Blacka	-1.0890	0.0124	*	Ethnicity – Black African
Blacko	-0.6962	0.0180	*	Ethnicity – Black Other
Chinese	-1.3550	0.0965	*	Ethnicity – Chinese
Ethoth	-0.4115	0.0174	*	Ethnicity – Other
Mobile	0.1076	0.0041	*	Postcode changed between spring censuses
IDACIC1	0.6672	0.0258	*	IDACI – deprivation (centred)
IDACIC2	-4.1840	0.1409	*	IDACI – deprivation (centred) ^2
IDACIC3	9.5010	0.7139	*	IDACI – deprivation (centred) ^3
IDACIC4	-7.6400	0.9222	*	IDACI – deprivation (centred) ^4
KS4avSch	-0.0010	0.0005	*	School average key stage 4 total point score
pcSENSAP12	0.0235	0.0062	*	% pupils with Statement of SEN or on School Action Plus 2012
n99	0.0003	0.0001	*	Number of pupils in school (school size)
OFSTEDbehaveSafe	0.3737	0.0475	*	Ofsted rating 2012 – Behaviour and safety of pupils

* Data relates to school and pupil differences **before** the trial.

Table 36 Probability of being a persistent absentee

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-2.368	0.264	*	Constant
trial	0.049	0.099		School is a trial school
inPPF	0.569	0.141	*	Pupil listed on PPF as at risk
year9	0.418	0.076	*	Year 9
year10	0.851	0.079	*	Year 10
year11	1.070	0.081	*	Year 11
ks2av1	-0.132	0.027	*	Pupil's key stage 2 average (centred)
female	0.598	0.057	*	Female
FSM	0.402	0.055	*	Pupil eligible for free school meals
EAL	-0.663	0.111	*	English as an additional language
Fixed11	-0.346	0.077	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	0.123	0.033	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	0.020	0.005	*	Length of fixed-period exclusions in 2010–11*
gypsy	0.882	0.239	*	Ethnicity – Gypsy/Roma
ethmix	-0.210	0.100	*	Ethnicity – Mixed
asianp	-0.628	0.218	*	Ethnicity – Asian Pakistani
asianb	-1.290	0.386	*	Ethnicity – Asian Bangladeshi
asiano	-0.758	0.384	*	Ethnicity – Asian Other
blackc	-1.353	0.157	*	Ethnicity – Black Caribbean
blacka	-1.715	0.216	*	Ethnicity – Black African
blacko	-1.332	0.339	*	Ethnicity – Black Other
ethoth	-0.780	0.307	*	Ethnicity – Other
IDACIC1	0.369	0.164	*	IDACI – deprivation (centred)
KS4avSch	-0.002	0.000	*	School average KS4 total point score
n99	0.000	0.000	*	Number of pupils in school (school size)
schprm	-50.780	13.180	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*

* Data relates to school and pupil differences **before** the trial.

Table 37 Number of fixed-period exclusions (FPE)

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-1.409	0.357	*	Constant
Trial	-0.040	0.026		School is a trial school
lnPPF	1.242	0.038	*	Pupil listed on PPF as 'at risk'
pcFSM12	-0.005	0.001	*	% pupils eligible for free school meals (2011–12)
Schfpe	1.704	0.132	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
Schprm	-24.200	4.025	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
Mobile	0.050	0.012	*	Postcode changed between spring censuses (before start of trial)
Female	-0.042	0.012	*	Female
FSM	0.042	0.010	*	Pupil eligible for free school meals
FIXEDn11	0.228	0.006	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	-0.005	0.001	*	Length of fixed-period exclusions in 2010–11*
Sensa	0.028	0.010	*	SEN – School Action/Plus
Senstat	0.104	0.025	*	SEN – Statement
Whitoth	-0.064	0.023	*	Ethnicity – White non-UK
Ethmix	-0.042	0.018	*	Ethnicity – Mixed
Asiani	-0.127	0.051	*	Ethnicity – Asian Indian
Asianp	-0.116	0.029	*	Ethnicity – Asian Pakistani
Asianb	-0.153	0.042	*	Ethnicity – Asian Bangladeshi
Blacka	-0.055	0.021	*	Ethnicity – Black African
Ethoth	-0.073	0.037	*	Ethnicity – Other
IDACIC1	0.099	0.033	*	IDACI – deprivation (centred)
year8	1.538	0.356	*	Year 8
year9	1.658	0.356	*	Year 9
year10	1.695	0.356	*	Year 10
year11	1.712	0.356	*	Year 11
year12	1.070	0.356	*	Year 12

* Data relates to school and pupil differences **before** the trial.

Table 38 Total length of fixed-period exclusions (FPE)

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-7.907	1.927	*	Constant
Trial	-0.185	0.156		School is a trial school
lnPPF	6.722	0.206	*	Pupil listed on PPF as at risk
Schfpe	4.882	0.674	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
Schprm	-99.720	20.640	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
Mobile	0.302	0.064	*	Postcode changed between spring censuses (before start of trial)
Female	-0.222	0.064	*	Female
FSM	0.224	0.053	*	Pupil eligible for free school meals
FIXEDn11	0.864	0.034	*	Number of fixed-period exclusions in 2010/11*
FIXEDs11	0.033	0.006	*	Length of fixed-period exclusions in 2010/11*
Sensa	0.167	0.055	*	SEN – School Action/Plus
Senstat	0.558	0.137	*	SEN – Statement
Ethmix	-0.217	0.097	*	Ethnicity – Mixed
Asiani	-0.672	0.276	*	Ethnicity – Asian Indian
Asianp	-0.599	0.154	*	Ethnicity – Asian Pakistani
Asianb	-0.519	0.228	*	Ethnicity – Asian Bangladeshi
Blacka	-0.246	0.114	*	Ethnicity – Black African
IDACIC1	0.346	0.173	*	IDACI (centred)
year8	8.267	1.924	*	Year 8
year9	8.902	1.924	*	Year 9
year10	9.047	1.923	*	Year 10
year11	9.118	1.924	*	Year 11
year12	6.046	1.924	*	Year 12

* Data relates to school and pupil differences **before** the trial.

Whole-school models

Table 39 Key stage 3 average point score

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	5.883	0.121	*	Constant
Trial	0.042	0.041		School is a trial school
inPPF	-0.552	0.162	*	Pupil listed on PPF as at risk
KS4avSch	0.000	0.000	*	School average key stage 4 total point score
pcWBR12	-0.003	0.001	*	% pupils who are white British 2011–12
pcEAL12	-0.003	0.001	*	% pupils with English as an additional language 2011–12
schfpe	-0.375	0.133	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
Rural	0.059	0.027	*	Rural
grammar	0.575	0.053	*	Grammar school
ks2av1	0.709	0.003	*	Pupil's key stage 2 average (centred)
female	0.071	0.004	*	Female
FSM	-0.116	0.005	*	Pupil eligible for free school meals
Fixed11	-0.229	0.017	*	Pupil has been excluded at least once in 2010–11
FIXEDn11	-0.029	0.008	*	Number of fixed-period exclusions in 2010–11*
sense	-0.260	0.005	*	SEN – School Action/Plus
senstat	-0.136	0.013	*	SEN – Statement
whitoth	0.054	0.010	*	Ethnicity – White non-UK
gypsy	-0.437	0.050	*	Ethnicity – Gypsy/Roma
ethmix	0.040	0.009	*	Ethnicity – Mixed
asiani	0.142	0.013	*	Ethnicity – Asian Indian
asianb	0.103	0.018	*	Ethnicity – Asian Bangladeshi
asiano	0.155	0.015	*	Ethnicity – Asian Other
blackc	-0.084	0.016	*	Ethnicity – Black Caribbean
blacka	0.056	0.011	*	Ethnicity – Black African
chinese	0.329	0.031	*	Ethnicity – Chinese
ethoth	0.075	0.016	*	Ethnicity – Other
Mobile	-0.059	0.005	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	-0.576	0.019	*	IDACI – deprivation (centred)
IDACIC2	1.199	0.104	*	IDACI – deprivation (centred ^2
IDACIC3	-0.993	0.251	*	IDACI – deprivation (centred) ^3

* Data relates to school and pupil differences **before** the trial.

Table 40 KS4 total point score

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-50.550	7.231	*	Constant
Trial	-3.112	2.935		School is a trial school
lnPPF	-129.900	6.934	*	Pupil listed on PPF as at risk
KS4avSch	0.958	0.008	*	School average key stage 4 total point score
pcFSM12	1.617	0.077	*	% pupils eligible for free school meals 2011–12
pcSENSAP12	1.226	0.122	*	% pupils with Statement of SEN or on School Action Plus 2012
pcWBR12	0.142	0.063	*	% pupils who are white British 2011–12
pcEAL12	-0.166	0.081	*	% pupils with English as an additional language 2011–12
Schfpe	52.710	7.788	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
comp16	-3.537	1.203	*	Comprehensive school to 16
Grammar	-42.740	3.016	*	Grammar school
OFSTEDbehavesafe	6.597	0.854	*	Ofsted rating 2012 – Behaviour/safety of pupils
ks2av1	85.540	0.495	*	Pupil's KS2 average (centred)
Female	27.620	0.605	*	Female
FSM	-26.470	0.878	*	Pupil eligible for free school meals
EAL	21.120	1.547	*	English as an additional language
Fixed11	-60.980	1.997	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	-15.910	1.223	*	Number of fixed-period exclusions in 2010-11*
FIXEDs11	-0.781	0.215	*	Length of fixed-period exclusions in 2010–11*
Sensa	-31.680	0.841	*	SEN – School Action/Plus
Senstat	-20.980	2.167	*	SEN – Statement
Whitoth	18.320	1.980	*	Ethnicity – White non-UK
Gypsy	-65.380	10.190	*	Ethnicity – Gypsy/Roma
Ethmix	8.339	1.626	*	Ethnicity – Mixed
Asiani	31.330	2.421	*	Ethnicity – Asian Indian
Asianp	20.620	2.359	*	Ethnicity – Asian Pakistani
Asianb	31.320	3.327	*	Ethnicity – Asian Bangladeshi
Asiano	34.480	2.905	*	Ethnicity – Asian Other
Blackc	11.610	2.634	*	Ethnicity – Black Caribbean
Blacka	32.820	2.136	*	Ethnicity – Black African
Blacko	23.710	4.297	*	Ethnicity – Black Other
Chinese	65.430	5.027	*	Ethnicity – Chinese
Ethoth	30.970	2.989	*	Ethnicity – Other
Mobile	-18.880	1.080	*	Postcode changed between spring censuses
IDACIC1	-70.050	4.811	*	IDACI – deprivation (centred)
IDACIC2	193.900	17.460	*	IDACI – deprivation (centred) ^2
IDACIC3	-459.000	104.900	*	IDACI – deprivation (centred) ^3
IDACIC4	470.000	153.900	*	IDACI – deprivation (centred) ^4

Table 41 Number of key stage 4 Level 1 passes (GCSEs at A*-G)

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	0.070	0.088		Constant
Trial	-0.047	0.114		School is a trial school
InPPF	-3.072	0.133	*	Pupil listed on PPF as 'at risk'
ks2av1	0.800	0.010	*	Pupil's key stage 2 average (centred)
Female	0.160	0.011	*	Female
FSM	-0.458	0.017	*	Pupil eligible for free school meals
EAL	0.276	0.029	*	English as an additional language
Fixed11	-0.916	0.039	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	-0.417	0.024	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	-0.029	0.004	*	Length of fixed-period exclusions in 2010-11*
Sensa	-0.497	0.016	*	SEN – School Action/Plus
Senstat	-1.154	0.042	*	SEN – Statement
Whitoth	0.198	0.038	*	Ethnicity – White non-UK
Gypsy	-1.501	0.199	*	Ethnicity – Gypsy/Roma
Ethmix	0.106	0.031	*	Ethnicity – Mixed
Asiani	0.233	0.046	*	Ethnicity – Asian Indian
Asianp	0.235	0.045	*	Ethnicity – Asian Pakistani
Asianb	0.279	0.065	*	Ethnicity – Asian Bangladeshi
Asiano	0.356	0.056	*	Ethnicity – Asian Other
Blackc	0.378	0.051	*	Ethnicity – Black Caribbean
Blacka	0.534	0.041	*	Ethnicity – Black African
Blacko	0.447	0.083	*	Ethnicity – Black Other
Chinese	0.640	0.097	*	Ethnicity – Chinese
Ethoth	0.383	0.058	*	Ethnicity – Other
Mobile	-0.285	0.021	*	Postcode changed between spring censuses
IDACIC1	-0.656	0.045	*	IDACI – deprivation (centred)
KS4avSch	0.021	0.000	*	School average key stage 4 total point score
pcFSM12	0.035	0.001	*	% pupils eligible for free school meals 2011–12
pcSENSAP12	0.027	0.002	*	% pupils with Statement of SEN or on School Action Plus 2012
pcWBR12	0.004	0.001	*	% pupils who are white British 2011–12
n99	0.000	0.000	*	Number of pupils in school (school size)
OverallEffectiveness	0.067	0.012	*	Latest Ofsted overall effectiveness judgement (2012)
OFSTEDbehavesafe	0.196	0.014	*	Ofsted rating 2012 – Behaviour and safety of pupils
Schfpe	1.160	0.106	*	Average fixed-period exclusions each year per pupi 2009/10 – 2010/11*
Schprm	12.860	3.530	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
Rural	-0.142	0.019	*	Rural
comp18	0.041	0.016	*	Comprehensive school to 18
Grammar	-2.291	0.042	*	Grammar school

Table 42 Number of KS4 Level 2 passes (GCSEs at A*-C)

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-2.055	0.192	*	Constant
Trial	-0.094	0.094		School is a trial school
lnPPF	-2.531	0.176	*	Pupil listed on PPF as at risk
KS4avSch	0.020	0.000	*	School average key stage 4 total point score
pcFSM12	0.048	0.003	*	% pupils eligible for free school meals 2011–12
pcSENSAP12	0.025	0.005	*	% pupils with Statement of SEN or on School Action Plus 2012
pcEAL12	-0.011	0.002	*	% pupils with English as an additional language 2011-12
OverallEffectiveness	0.081	0.029	*	Latest Ofsted overall effectiveness judgement (2012)
Schfpe	1.204	0.313	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
comp16	-0.279	0.048	*	Comprehensive school to 16
Grammar	-1.128	0.118	*	Grammar school
ks2av1	2.264	0.013	*	Pupil's KS2 average (centred)
Female	0.687	0.016	*	Female
FSM	-0.604	0.022	*	Pupil eligible for free school meals
EAL	0.504	0.039	*	English as an additional language
Fixed11	-1.490	0.050	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	-0.337	0.021	*	Number of fixed-period exclusions in 2010–11*
Sensa	-0.874	0.021	*	SEN – School Action/Plus
Senstat	-0.212	0.055	*	SEN – Statement
Whitoth	0.421	0.050	*	Ethnicity – White non-UK
Gypsy	-1.023	0.260	*	Ethnicity – Gypsy/Roma
Ethmix	0.234	0.041	*	Ethnicity – Mixed
Asiani	0.731	0.062	*	Ethnicity – Asian Indian
Asianp	0.544	0.061	*	Ethnicity – Asian Pakistani
Asianb	0.819	0.086	*	Ethnicity – Asian Bangladeshi
Asiano	0.881	0.074	*	Ethnicity – Asian Other
Blackc	0.204	0.067	*	Ethnicity – Black Caribbean
Blacka	0.847	0.054	*	Ethnicity – Black African
Blacko	0.616	0.109	*	Ethnicity – Black Other
Chinese	1.412	0.127	*	Ethnicity – Chinese
Ethoth	0.790	0.076	*	Ethnicity – Other
Mobile	-0.443	0.027	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	-2.014	0.123	*	IDACI – deprivation (centred)
IDACIC2	6.282	0.448	*	IDACI – deprivation (centred) ^2
IDACIC3	-11.140	2.676	*	IDACI – deprivation (centred) ^3
IDACIC4	9.272	3.915	*	IDACI – deprivation (centred) ^4

Table 43 Rate of unauthorised absences

Variable	Coefficient	Standard error	Significant at 5%	Label
Cons	-6.497	0.095	*	Constant
Trial	-0.075	0.079		School is a trial school
InPPF	1.306	0.027	*	Pupil listed on PPF as at risk
year9	0.349	0.008	*	Year 9
year10	0.642	0.008	*	Year 10
year11	0.833	0.008	*	Year 11
ks2av1	-0.222	0.003	*	Pupil's key stage 2 average (centred)
Female	0.140	0.005	*	Male/female
FSM	0.714	0.006	*	Pupil eligible for free school meals
EAL	-0.102	0.013	*	English as an additional language
perm11	1.243	0.061	*	Pupil has been permanently excluded at least once in 2010–11*
Fixed11	0.659	0.010	*	Pupil has been excluded at least once in 2010-11*
FIXEDn11	0.124	0.003	*	Number of fixed-period exclusions in 2010–11*
Sensa	0.350	0.006	*	SEN – School Action/Plus
Senstat	-0.152	0.017	*	SEN – Statement
Whitoth	0.260	0.015	*	Ethnicity – White non-UK
Gypsy	1.208	0.032	*	Ethnicity – Gypsy/Roma
Ethmix	0.080	0.012	*	Ethnicity – Mixed
Asiani	-0.423	0.028	*	Ethnicity – Asian Indian
Asianp	-0.045	0.019	*	Ethnicity – Asian Pakistani
Asianb	-0.168	0.027	*	Ethnicity – Asian Bangladeshi
Asiano	-0.431	0.031	*	Ethnicity – Asian Other
Blackc	-0.549	0.024	*	Ethnicity – Black Caribbean
Blacka	-0.775	0.020	*	Ethnicity – Black African
Blacko	-0.551	0.038	*	Ethnicity – Black Other
Chinese	-1.098	0.082	*	Ethnicity – Chinese
Ethoth	-0.266	0.026	*	Ethnicity – Other
Mobile	0.404	0.007	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	1.281	0.018	*	IDACI – deprivation (centred)
pcSENSAP12	0.015	0.005	*	% pupils with Statement of SEN or on School Action Plus 2012
OverallEffectiveness	0.159	0.050	*	Latest Ofsted overall effectiveness judgement (2012)
OFSTEDbehavesafe	0.153	0.060	*	Ofsted rating 2012 – Behaviour and safety of pupils
Schfpe	0.956	0.358	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
Grammar	-0.909	0.145	*	Grammar school

* Data relates to school and pupil differences **before** the trial.

Table 44 Probability of being a persistent absentee

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-5.334	0.191	*	Constant
trial	-0.078	0.094		School is a trial school
inPPF	1.812	0.316	*	Pupil listed on PPF as at risk
year9	0.271	0.092	*	Year 9
year10	0.525	0.089	*	Year 10
year11	0.864	0.085	*	Year 11
ks2av1	-0.279	0.035	*	Pupil's key stage 2 average (centred)
female	0.233	0.057	*	Female
FSM	1.018	0.063	*	Pupil eligible for free school meals
EAL	-0.799	0.128	*	English as an additional language
Fixed11	0.813	0.133	*	Pupil has been excluded at least once in 2010–11*
FIXEDn11	0.288	0.050	*	Number of fixed-period exclusions in 2010–11*
sense	0.506	0.065	*	SEN – School Action/Plus
gypsy	1.959	0.347	*	Ethnicity – Gypsy/Roma
asiano	-1.198	0.598	*	Ethnicity – Asian Other
blackc	-0.982	0.325	*	Ethnicity – Black Caribbean
blacka	-0.987	0.252	*	Ethnicity – Black African
Mobile	0.474	0.078	*	Postcode changed between spring censuses (before start of trial)
IDACIC1	1.294	0.182	*	IDACI – deprivation (centred)
pcWBR12	0.004	0.002	*	% pupils who are white British 2011–12
n99	0.000	0.000	*	Number of pupils in school (school size)
comp16	0.161	0.072	*	Comprehensive school to 16
grammar	-0.797	0.373	*	Grammar school

* Data relates to school and pupil differences **before** the trial.

Table 45 Number of fixed-period exclusions (FPE)

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-1.535	0.134	*	Constant
trial	-0.004	0.004		School is a trial school
inPPF	1.246	0.013	*	Pupil listed on PPF as at risk
pcFSM12	-0.001	0.000	*	% pupils eligible for free school meals 2011–12
pcSENSAP12	-0.001	0.000	*	% pupils with Statement of SEN or on School Action Plus 2012
schfpe	0.381	0.021	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
schprm	-3.094	0.652	*	Average permanent exclusions each year per pupil 2009/10 –2010/11*
Mobile	0.016	0.002	*	Postcode changed between spring censuses (before start of trial)
female	-0.027	0.001	*	Female
FSM	0.048	0.001	*	Pupil is eligible for free school meals
EAL	-0.012	0.002	*	English as an additional language
FIXEDn11	0.277	0.002	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	-0.008	0.000	*	Length of fixed-period exclusions in 2010–11*
sense	0.050	0.001	*	SEN – School Action/Plus
senstat	0.052	0.003	*	SEN – Statement
gypsy	0.077	0.014	*	Ethnicity – Gypsy/Roma
asiani	-0.015	0.004	*	Ethnicity – Asian Indian
asianp	-0.015	0.004	*	Ethnicity – Asian Pakistani
asianb	-0.020	0.005	*	Ethnicity – Asian Bangladeshi
asiano	-0.017	0.005	*	Ethnicity – Asian Other
blackc	0.021	0.004	*	Ethnicity – Black Caribbean
Chinese	-0.020	0.008	*	Ethnicity – Chinese
ethoth	-0.016	0.005	*	Ethnicity – Other
IDACIC1	0.073	0.004	*	IDACI – deprivation (centred)
year8	1.555	0.134	*	Year 8
year9	1.573	0.134	*	Year 9
year10	1.582	0.134	*	Year 10
year11	1.587	0.134	*	Year 11
year12	1.495	0.134	*	Year 12

* Data relates to school and pupil differences **before** the trial.

Table 46 Total length of fixed-period exclusions (FPE)

Variable	Coefficient	Standard error	Significant at 5%	Label
cons	-8.108	0.701	*	Constant
trial	-0.022	0.023		School is a trial school
inPPF	6.709	0.068	*	Pupil listed on PPF as at risk
schfpe	1.178	0.100	*	Average fixed-period exclusions each year per pupil 2009/10 – 2010/11*
schprm	-10.720	3.174	*	Average permanent exclusions each year per pupil 2009/10 – 2010/11*
Mobile	0.085	0.009	*	Postcode changed between spring censuses (before start of trial)
female	-0.124	0.005	*	Female
FSM	0.218	0.007	*	Pupil is eligible for free school meals
EAL	-0.050	0.011	*	English as an additional language
FIXEDn11	0.991	0.010	*	Number of fixed-period exclusions in 2010–11*
FIXEDs11	0.033	0.002	*	Length of fixed-period exclusions in 2010–11*
sense	0.230	0.006	*	SEN – School Action/Plus
senstat	0.234	0.018	*	SEN – Statement
gypsy	0.336	0.073	*	Ethnicity – Gypsy/Roma
asiani	-0.089	0.020	*	Ethnicity – Asian Indian
asianp	-0.085	0.018	*	Ethnicity – Asian Pakistani
asianb	-0.091	0.027	*	Ethnicity – Asian Bangladeshi
asiano	-0.097	0.024	*	Ethnicity – Asian Other
Chinese	-0.099	0.044	*	Ethnicity – Chinese
ethoth	-0.070	0.024	*	Ethnicity – Other
IDACIC1	0.326	0.020	*	IDACI – deprivation (centred)
year8	8.170	0.701	*	Year 8
year9	8.260	0.701	*	Year 9
year10	8.298	0.701	*	Year 10
year11	8.326	0.701	*	Year 11
year12	7.902	0.701	*	Year 12
comp16	-0.034	0.015	*	Comprehensive to 16

* Data relates to school and pupil differences **before** the trial.

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