

# Local Code of Conduct Education Fixed Penalty Notices

May 2014

CAERPHILLY COUNTY BOROUGH COUNCIL IN PARTNERSHIP WITH NEWPORT CBC &  
TORFAEN CBC



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## 1. Legal Framework

- 1.1. The law empowers designated Local Authority (LA) Officers, head teachers, including their nominated deputies and the Police to issue Fixed Penalty Notices to the parents of children who have unauthorised absence from schools that fall within Caerphilly County Borough Council (CCBC).

The rules governing the implementation of these powers and the factors that should be taken into account when issuing a Fixed Penalty Notice are outlined in:

- The Education Act 1996;
- The Education & Inspections Act 2006;
- The Education (Penalty Notices) (Wales) Regulations 2013

CCBC is responsible for developing a protocol with which all the partner agencies named in legislation will work.

The Local Code will be implemented from September 2014. Schools will be expected to update relevant attendance policies for the academic year 2014/15.

## 2. Rationale

- 2.1. Section 7 of the Education Act 1996 states that:

“The parent of every child of compulsory school age shall cause him to receive efficient full-time education suitable to his age, ability aptitude and to any special educational needs he may have, either by regular attendance at school or otherwise”

- 2.1.1. Regular and punctual attendance at school or alternative provision is a legal requirement and is essential to enable children to maximise their educational attainments and opportunities available to them.
- 2.1.2. Evidence shows that children with poor attendance are unlikely to succeed academically and they are more likely not to be in education, employment or training (NEET) when they leave school. NEET young people are likely to have a history of non-attendance and persistence absences in years 10 and 11.
- 2.1.3. Section 444 of the Education Act 1996, makes it a criminal offence for a parent’s failure to secure their child’s attendance at the school at which they are registered and where absences are not authorised.
- 2.1.4. The definition of “parent” includes all biological parents, whether they are married or not and includes any person who, although not a biological parent, has the parental responsibility and/or care for a child or young person.
- 2.1.5. Targeted intervention plays a vital role in resolving issues of poor school attendance, however where this fails to have the desired effect there are a number of sanctions available to Local Authorities (LAs) to try and secure improvements.

- 2.2. Fixed Penalty Notices are one of the sanctions available for this offence and offer a means of suitable and effective intervention for improving levels of unauthorised absences, before they become entrenched and persistence absences, whilst reducing the need for lengthy and costly prosecutions.
- 2.3. Fixed Penalty Notices and other sanctions will only be used where parental co-operation with this process is either absent or deemed to be insufficient to resolve the problem. They will be used as a means to support parents to meet their legal responsibilities and only where there is a reasonable expectation that their use will secure improved school attendance.

### **3. Policy and Publicity**

- 3.1. School Attendance Policies will include information on the issuing of Fixed Penalty Notices and this will be brought to the attention of parents.

### **4. Monitoring and review**

CCBC will monitor and evaluate the effectiveness of Fixed Penalty Notices annually and amend its general enforcement strategy as appropriate. Reports will be made available to Head of Service and Strategy Committee and the Welsh Government as required.

## Appendices

Appendix 1	Protocols and procedures in relation to Fixed Penalty Notices
Appendix 2	Advisory letter for issue by schools
Appendix 3	Fixed Penalty Notice request check list (to be submitted with request)
Appendix 4	Penalty Notice request - Unauthorised Holiday
Appendix 5	Penalty Notice request - Unauthorised Absence
Appendix 6	Penalty Notice pro-forma (LA use only)
Appendix 7	Relevant legislation

## **Protocols and procedures in relation to Fixed Penalty Notices**

### **Issue of a Fixed Penalty Notice**

- A Fixed Penalty Notice can only be issued in cases of unauthorised absence;
- Fixed Penalty Notices will be restricted to one notice per parent of a pupil in an academic year;
- In cases where there is more than one poorly-attending pupil in a family, Notices may be issued for more than one child;
- There will be no restriction on the number of times a parent may receive a formal warning of a possible Fixed Penalty Notice

### **Fixed Penalty Notices may be considered appropriate when:**

- At least 10 sessions (5 school days) are lost due to unauthorised absence during the current term. These do not need to be consecutive;
- Unauthorised absences of at least 10 sessions (5 school days) due to holidays taken in term time or delayed return from extended holidays;
- Persistent late arrival at school, i.e. after the register has closed, in the current term. "Persistent" means at least 10 sessions of late arrival;
- Truancy, where the child has come to the attention of the Police or public during school hours for being absent from school, without an acceptable reason.

With regard to a request from a school for a Fixed Penalty Notice linked to a holiday related unauthorised absence, a LA will only issue a Notice where the school has provided the necessary paperwork and evidence. This paperwork should comprise:

- A copy of newsletter or letter sent to all parents during the current Academic year which clearly states that parents may receive a Fixed Penalty Notice for an un-authorised holiday in term time. (The LA will not need a hard copy of this newsletter/letter each time a school applies for an unauthorised holiday Fixed Penalty Notice, just on the first occasion each academic year);
- A copy of the holiday request form submitted by a parent, and a copy of the response sent to the parent by school. In the event of the holiday request is being denied the school's response should state the reason why the holiday is unauthorised and should again advise the parent that they may receive a Fixed Penalty Notice if they take their child out of school;
- A copy of the letter sent by school to the parent advising that the school has referred the matter to the LA and that a Fixed Penalty Notice may be issued;
- Signed registration certificate from the Head Teacher or their nominated deputy confirming that non-attendance during the period was unauthorised.

## **Considerations and Assessment as to whether a Fixed Penalty Notice should be issued.**

Head Teachers, their nominated deputies and the Education Welfare Service (EWS) will take into account the following when determining whether a Fixed Penalty Notice should be issued:

- Level of absence;
- Any Equalities considerations relating to the child or family (as listed in the Council's Strategic Equality Plan);
- Any Special Educational Needs and or Additional Learning Needs (ALN). LAs should consider whether attendance problems may be related to a pupil's ALN. Schools should be able to demonstrate that they have made appropriate provision for the pupil's needs, which may include consideration to support through School Action, School Action Plus or in collaboration with the LA, carry out a statutory assessment.
- History of the attendance issues and action taken;
- Welsh Government (WG) Guidance;
- Likely effectiveness of Fixed Penalty Notice as a tool for obtaining compliance;
- Level of parent engagement/cooperation;
- Any substantial adverse effect a fine will have on the welfare of the family.

## **Procedure for Issuing Fixed Penalty Notices**

The designated officer(s) within the EWS will be the only individuals permitted to issue Fixed Penalty Notices, which will ensure consistent and equitable delivery and allow schools to maintain good relationships with parents and ensure that they reinforce any other enforcement sanctions.

Fixed Penalty Notices will never be issued as an instant action, e.g. during a Truancy Sweep. This will enable officers to ensure that all evidential requirements are in place and limit the health and safety risks to individuals.

## **Requests for issue of a Fixed Penalty Notice**

Where schools, Police or neighbouring LAs request the issue of a Fixed Penalty Notice, their request will be investigated and actioned by the EWS, provided that:

- The circumstances of the case meet the criteria specified in this Code of Conduct;
- The pupil is registered within a school within the CCBC area;
- All necessary evidence is provided to the EWS to establish whether an offence under Section 444(1) or 444(1A) of the Education Act 1996 or Section 108 of the Education and Inspections Act 2006 has been committed;

- Issuing a Fixed Penalty Notice would not conflict with another intervention strategy already in place or another enforcement sanction already being processed and there is a reasonable expectation that the use of a Fixed Penalty Notice would improve the child's school attendance.

### **Responding to requests for the issuing of a Fixed Penalty Notices**

Following the advisory warning notice issued by the school or Police, parents have a period of 15 school days within which to respond. During this time, the pupil must have no unauthorised absence. This information can be included in the formal written warning letter, where one has been issued.

The EWS will respond to all requests from schools or Police within 10 school days of receipt of a request. When satisfied that all of the relevant criteria have been met the LA will then issue a fixed penalty notice.

### **Fixed Penalty Notices for an unauthorised holiday**

Where the requested Fixed Penalty Notice is in response to a holiday related unauthorised absence, or is in relation to an offence under section 108 of the Education and Inspections Act 2006, the formal warning letter and 15 day improvement period will not apply.

### **Monitoring and Review**

All Fixed Penalty Notices will be entered onto a database maintained by individual LAs to ensure that no duplicate Fixed Penalty Notices are issued and to evaluate the effectiveness of the process.

### **Excluded Pupils**

The basis of the fixed penalty notice powers, do not extend to excluded pupils. Section 108 of the Education and Inspections Act 2006 came into force in October 2010 and amends section 16 of the Crime and Disorder Act 1998 to extend Police powers for the removal of excluded pupils to designated premises, if a child or young person excluded from school is found in a public place in a specified area during a specific period and during school hours.

### **Procedure for the Withdrawal of Fixed Penalty Notices**

Once issued, a Fixed Penalty Notice can only be withdrawn if the EWS is satisfied that:

- The Fixed Penalty Notice was issued to the wrong person;
- The use of the Fixed Penalty Notice did not conform to this Code of Conduct;
- The Fixed Penalty Notice was delivered to the wrong address;
- The circumstances of the case warrant its withdrawal (reasonable justification).

## **Right of appeal**

There is no statutory right of appeal, but where a parent contests the issuing of a Fixed Penalty Notice, they can submit any complaints to the EWS and/or opt to face proceedings in the Magistrates' Court under section 444 of the Education Act 1996, where all of the issues relating to their Fixed Penalty Notice can be fully debated heard.

## **Payment of Fixed Penalty Notices**

Arrangements for payment will be detailed on the Penalty Notice. Payment of a Fixed Penalty Notice discharges the parent's liability for the period in question and they cannot subsequently be prosecuted under other enforcement powers for the period covered by the Fixed Penalty Notice.

If the Fixed Penalty Notice is paid within 28 days, the penalty payable is £60, or £120 if within 42 days. Payments will not be accepted from parents after 42 days has elapsed and cannot be paid either by instalments.

The LA will only be able to retain enough revenue from the Fixed Penalty Notices, to cover administration costs for the process of issuing Fixed Penalty Notice, the surplus is to be surrendered to the Welsh consolidated fund.

## **Non-Payment of Fixed Penalty Notices**

Non-payment of a Fixed Penalty Notice will result in prosecution for the period covered by the Fixed Penalty Notice under Section 444 of the Education Act 1996.

## **Equalities and Welsh Language**

The issuing of Fixed Penalty Notices must comply with other related legislation and regulations, in order to ensure that they are used in a fair and consistent manner and have paid due regard to the circumstances of the child/children and families involved. These include, but are not limited to the following:-

- Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011
- Welsh Language (Wales) Measure 2011
- Human Rights Act 1998

The Council's Strategic Equalities Plan covers the full range of issues that may need to be considered, depending on the individual case.



**ADVISORY WARNING LETTER FOR SCHOOLS**

Dear (Parent name)

Name of pupil:

Date of birth:

Date:

I have reviewed your child's attendance record and am concerned to note that he/she has incurred at least 10 sessions (5 school days) of unauthorised absence.

I enclose a copy of your child's attendance record and remind you that as a parent/carer of a child who is a registered pupil at this school, you have the legal responsibility for ensuring your child attends regularly.

All schools share the Welsh Government's determination to raise levels of pupil attendance and achievement in order to ensure the best possible start in life for our children.

Under Section 444 of the Education Act 1996, the Local Authority has the power to issue parents/carers with a Fixed Penalty Notice for each of their children, who fail to attend school regularly.

A Fixed Penalty Notice is an early deterrent intended to prevent more extended periods of unauthorised absence developing and incur a fine of £120, reduced to £60 if paid within 28 days of the notice being served. Failure to pay a penalty notice will result in prosecution under the Education Act 1996.

I can therefore advise you that the school/provision will be monitoring your child's attendance for 15 school days from the date of this letter and should any further unauthorised absence occur, consideration will be given to the issue of a Fixed Penalty Notice.

Support and guidance regarding attendance is available from school or the Local Authority, however should you have any specific queries in relation to this letter, please contact me on the above telephone number.

Yours sincerely,

Head Teacher

**FIXED PENALTY NOTICE  
UNAUTHORISED HOLIDAY CHECKLIST**

1. Who has parental responsibility over the pupil? Please name the person who has day to day care if different

Parental Responsibility: .....

Day to Day care: .....

2. Has the period of absence meant the pupil has missed at least 10 school sessions?

Yes/ No

3. Has the parent named in response to question 1 previously received a Fixed Penalty Notice?

Yes/No

If yes please give details: .....

5. Was a request made to the school by the parent for holiday leave during the period you wish to issue a Fixed Penalty Notice for? (Consideration should be given to the time of year of the proposed trip, length and purpose of the holiday, impact on continuity of learning, circumstances of the family and the wishes of parents).

If 'yes' what was the reason for refusal? Please attach copies of the correspondence exchanged.

If 'no' please explain why an unauthorised holiday is suspected.

.....

5. What is the pupil's attendance history? .....

6. Does the pupil have any Special Educational Needs (SEN) and is she/he maintained on a Statement of SEN? .....

7. Does the pupil have a Disability under the Equality Act 2010? Y/N

8. What is known of the pupil's personal circumstances? .....

9. Are there any exceptional circumstances that the Council should be aware of?

.....

10. Has the pupil had a previous holiday or long period of absence in the academic year the unauthorised holiday was taken in?

.....

11. Has parent been in contact with the school in relation to the absence? Y/N

12. Has CCBC's Code of Conduct been considered? Y/N

**FIXED PENALTY NOTICE REQUEST  
UNAUTHORISED HOLIDAY ABSENCE**

Registered pupil at: .....School

**Pupil Details:**

Name: ..... MALE/FEMALE

D.O.B: .....

Address: .....

Postcode: .....

Telephone No: .....

Mobile No: .....

**Parent/Carer**

Name: .....

Address (if different from above): .....

Postcode: .....

Telephone No: .....

Mobile No: .....

Name: .....

Address (if different from above): .....

Postcode: .....

Telephone No: .....

Mobile No: .....

**Dates of Absence:**

The above named pupil was absent from school on the following dates and are recorded in the school register as unauthorised. (Please attach a registration certificate showing the period)


**Declaration**

I am the Head teacher/Acting Head Teacher of the School named. I certify that this holiday request has been considered in line with the School Attendance Policy. To the best of my knowledge there are no exceptional circumstances to consider.

Did parents request authorisation prior to holiday: Yes / No.

School response in writing to decline authorisation of holiday: Yes / No.

**PLEASE ATTACH COPIES OF ALL CORRESPONDENCE.**

Name: .....

Signature: .....Date: .....

**FIXED PENALTY NOTICE REQUEST**  
**UNAUTHORISED ABSENCE - Section 444, Education Act 1996**

Information contained in the form will be used in legal action under the above Act relating to non-attendance at school in the event that an Education Penalty Notice is issued and remains unpaid. I request that the Local Authority consider issuing a Penalty Notice to the parent(s)\* of the following pupil:

**Pupil Details**

Registered School: .....

Name of Pupil: ..... DOB: ..... Year: .....

Address: .....

**Parent 1**

Full name: ..... DOB: .....

Address: .....

**Parent 2**

Full name: ..... DOB: .....

Address: (if different from above) .....

The expression “parent”, in relation to a child or young person, includes any person who is not a parent of the child but who has parental responsibility for him or her, or who has care of the child.

In making this request, I confirm that such action would not conflict with other intervention strategies already in place or other enforcement measures already being processed. I can also confirm that the governing body of this school has reviewed its attendance policy and agreed that this school will request the Local Authority to issue a Fixed Penalty Notices in appropriate cases.

How has the parent been contacted regarding the unauthorised absences?

School Meeting  Letter  Telephone Call 

Is the family known to other Services, e.g. Children’s Services, YOS, CAMHS?

Yes / No

Are there any notable circumstances to consider, e.g. mental health, bereavement, family dynamics/domestic violence? Yes / No

If yes, please give full details:

Signed .....Designation .....Date: .....

**Please enclose an up to date registration certificate.**

## Appendix 6

**FIXED Penalty Notice**  
**[S.444A EDUCATION ACT 1996]**  
Please read the notes below carefully.

### Part 1

If a child of compulsory school age who is a registered pupil at a school fails to attend regularly at the school, or fails to attend regularly at alternative provision, the child's parent/guardian is guilty of an offence under s.444 Education Act 1996.

To: (Title)

(Forenames)

(Surname)

Of: (address)

(Postcode)

You are a parent/guardian of (name and address of child) (called in this notice "the pupil") who is a registered pupil at (name of school)

**OR**

You are a parent/guardian of (name and address of child) (called in this notice "the pupil") who is a registered pupil at (name of school) and arrangements have been made by the local authority for an alternative educational provision.

On (date/dates)/ between (date) and (date) the pupil (name) failed to attend regularly at the (name of) school. This notice gives you the opportunity to pay a penalty fine instead of being prosecuted for the offence given above. The amount of the penalty is £60. If you pay this penalty within the time limits set out below, no further action will be taken against you in connection with the offence as set out in this notice.

Payment should be made within 28 days. If paid after 28 days but within 42 days the penalty is doubled to £120.

Late or part payments will not be accepted and no reminders will be sent. If payment is not received by (insert date 42 days from date of issue), you will be prosecuted for the offence and could be subject to a fine of up to £2,500.

This notice is issued by (*name, official particulars of the post*) within Caerphilly County Borough Council.

Date of issue:



## Part 2

Please complete the below information and return this notice with your payment. Details of how to pay is in the below section.

Name:

Address:

I attach payment in the sum of £

Signed:

Date:

## NOTES

### Contact details

If you have any queries about this notice, please contact: The Senior Administrative Officer, Education Welfare Service/FPN payments, Penallta House, Tredomen Park, Ystrad Mynach, Hengoed, CF82 7PG (insert telephone number)

### Amount of penalty

The amount of the penalty is as follows:

If paid within 28 days £60 If paid within 42 days £120.

### Code of conduct

This notice is issued in accordance with the 2014 Local Code of Conduct, as drawn up by The South East Wales Consortium and Caerphilly County Borough Council. Any questions or correspondence about the code should be addressed to The Senior Education Welfare Officer, Penallta House, Tredomen Park, Ystrad Mynach, Hengoed, CF82 7PG.

### Withdrawal

This notice may be withdrawn by Caerphilly County Borough Council, if it is shown that it should not have been issued to you or has not been issued to you in accordance with the Local Code of Conduct. If you believe that the notice was wrongly issued you must contact the Local Authority as soon as possible to ask for it to be withdrawn, stating why you believe the notice to have been incorrectly issued.

The Local Authority will consider your request and contact you to let you know whether the notice is withdrawn. If the notice is not withdrawn and you do not pay, you will be liable to prosecution for the offence.

## **Payment**

Payment can be made in person at any of the Council's cash offices during office opening hours. Office opening times vary, so please refer to the CCBC web site or individual offices for opening times. Alternatively you can post the payment with the completed form with a cheque or postal order to:

The Senior Administrative Officer, Education Welfare Service/FPN payments, Penallta House, Tredomen Park, Ystrad Mynach, Hengoed, CF82 7PG.

## **Prosecution**

If you do not pay the penalty, and the notice is not withdrawn, you will be prosecuted for the offence of failing to ensure your child's regular attendance at school.

You will receive a separate summons for this which will give you notice of the time and date of the court hearing. You will be able to defend yourself and you would be advised to seek legal representation.

Relevant legislation that relates to Fixed Penalty Notices includes:

### **The Children Act 1989**

The definition of “parent” means all biological parents, whether they are married or not; and includes any person who, although not a biological parent, has parental responsibility and/or care for a child or young person.

### **The Education Act 1996**

Section 7	Duty of parents to secure education of children of compulsory school age;
Section 8	Definition of compulsory school age;
Section 444(1)	Offence: Failure to secure regular attendance at school of registered pupil;
Section 444A	Penalty notice in respect of failure to secure regular attendance at school of registered pupil;
Section 444B	Penalty notices: supplemental;
Section 444ZA	Application of section 444 to alternative educational provision
Section 576	Meaning of “parent”

### **Education & Inspections Act 2006**

Section 108	Duty of parent in relation to excluded pupil.
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