



# **Commissioning Unregulated Alternative Provision Policy**

Approved By: Governing Body

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## 1. References

- [Alternative provision - GOV.UK](#)
- [Independent schools inspection handbook - GOV.UK \(www.gov.uk\)](#)
- [Keeping children safe during community activities, after-school clubs and tuition: non-statutory guidance for providers running out-of-school settings - GOV.UK \(www.gov.uk\)](#)
- [Keeping children safe in education - GOV.UK \(www.gov.uk\)](#)
- [Registration of independent schools, Departmental advice for proprietors and prospective proprietors of independent schools in England; August 2019](#)
- [School inspection handbook - GOV.UK \(www.gov.uk\)](#)
- [School suspensions and permanent exclusions - GOV.UK \(www.gov.uk\)](#)
- [Working together to improve school attendance - GOV.UK \(www.gov.uk\)](#)
- [Working together to safeguard children - GOV.UK \(www.gov.uk\)](#)

The model templates in this guidance can be accessed in the appendices at the end of this policy, and as downloads, at [Unregulated alternative provision templates - Norfolk Schools and Learning Providers - Norfolk County Council](#)

## 2. Definition and Purpose

This policy aims to provide clear guidance to Springwood High School's colleagues and partners in the commissioning of 'unregulated' alternative provision [AP]. The term 'unregulated' (also referred to as unregistered) to define an AP setting which is not a registered school or college (for pre-16 pupils). There are, however, unregulated AP settings which are registered for post-16 and also offer education/training to school-age pupils.

Unregulated AP settings may deliver an educational, (academic and/or vocational), social, emotional, physical and/or sensory offer, during the school day, where that provision cannot be met in school.

Typically, unregulated AP settings are used to provide alternative education or training to pupils to complement their timetable and core offer in school. Current government guidance does not always differentiate between **regulated or registered AP** (e.g., an alternative school setting for a pupil who has been permanently excluded from school, such as a pupil referral unit or short-stay school, or a hospital school) and **unregulated AP** (e.g., where a young person may access a vocational course for 1-2 days per week). Pupils accessing unregulated AP remain on the roll of their home school.

**As per [Arranging Alternative Provision - guide for LAs and schools \(updated February 2025\)](#):**

All children, regardless of circumstance or setting, should expect to receive a good education. When arranging alternative provision, Springwood High School will ensure that it is good quality, registered where appropriate, and delivered by high quality staff with suitable training, experience and safeguarding checks.

Alternative provision must be suitable to the child's age, ability and aptitude, and any SEN they have.

Placements into alternative provision should always be made with the child's reintegration back into mainstream or specialist education or move onto a sustained post-16 destination in mind.

### 3. Adapting Education to a Child's Needs

All children, regardless of circumstance or setting, should expect to receive the same high standard of education as their peers in Springwood High School.

Alternative provision and the framework surrounding it should offer good quality education equivalent to that provided in school. The provision must be suitable to the child's age, ability and aptitude, and any SEN they have.

Provision should also support the child to overcome their individual barriers to attainment and achievement, giving equal consideration to their pastoral needs, and enabling them to thrive and prosper in the education system.

Provision should address a child's physical or mental health needs as well as personal, social and emotional needs, alongside their educational needs. For example, ensuring that the child feels like they belong to Springwood High School's community, and can stay in contact with classmates, and where reasonably practicable have access to the same opportunities enjoyed by their peers.

The education offered by alternative provision settings should be of a good quality, delivered by high quality qualified staff who have undertaken suitable training, and have relevant experience and safeguarding checks.

Children should also be involved in decisions about their education from the outset to the extent that their age, additional needs and health allow. This will help ensure that the child understands the reasons and intended outcome for the placement and will encourage their commitment and engagement.

Children should be given the opportunity to take appropriate and relevant qualifications. This would help prevent them from falling behind their peers and ensure that they are able to access their chosen post-16 destination.

Springwood High School may commission off-site alternative provision (registered or unregistered) to improve behaviour, help prevent a suspension or permanent exclusion, or arrange suitable education for a suspended pupil (from the sixth school day of a suspension or permanent exclusion) under section 100 of the Education and Inspections Act 2006. Governors and Headteachers must adhere to the regulations set out in [School suspensions and permanent exclusions - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/uploads/system/uploads/attachment_data/file/282422/School_suspensions_and_permanent_exclusions_-_GOV.UK.pdf).

Pupils who may benefit from unregulated AP are often within the most vulnerable cohort. They may have special needs (with or without an EHCP), medical needs, attendance difficulties, challenging behaviour, a social worker, be suspended (after day 6), at risk of permanent exclusion, in care and/or known to supporting agencies such as the Youth Justice Service for example.

Unregulated AP settings are not inspected by Ofsted or any other national body, though Ofsted inspectors may visit an unregulated AP setting as part of a school's inspection (see [Ofsted](http://www.ofsted.gov.uk)).

The lack of a set of national standards or inspectorate, and the fact that it is often the most vulnerable pupils who access such provisions make it imperative that the commissioning of unregulated AP is carried out in the best interests of the pupil, with safeguarding as a priority. This policy aims to ensure that all Springwood High School's colleagues involved in the commissioning of unregulated AP follow correct procedures.

#### 4. Identifying a Suitable Placement

When it is decided that a child would benefit from alternative provision the placement should focus on enabling them to overcome any barriers to learning they may have and to assist them back into mainstream/specialist education or into a sustained post-16 destination. As such, Springwood High School will always ensure that a placement will address the individual needs of the child as well as providing education in line with that of Springwood High School to better enable re-integration.

When identifying any placement, Springwood High School will always consider the individual circumstances of the child and whether the setting is appropriate. This includes discussions between us and local authority to ensure there are no safeguarding concerns about the location of the placement and that the route between home and provider is manageable and safe.

Springwood High School understands that the commissioning school or local authority is ultimately responsible for the provision they put in place. As such the commissioner, prior to placement, should always conduct their own due diligence to assess whether the provision is safe, offers high quality education and is suitable for meeting the child's individual needs.

#### 5. Arranging a Placement

As soon as a suitable placement is identified, Springwood High School and the alternative provision setting will agree the nature of the intervention, its objectives, reintegration and the timeline to achieve these objectives. The provider should set this out in a personalised plan for the child.

Regular review dates (at least half-termly) between us and the provider will be built in to monitor the child's progress against objectives and to consider any changes that may be necessary to ensure the placement is successful. The provider will be responsible for advising us on any necessary changes and next steps to support transitions.

Where reintegration back into our school is the main objective, there will be agreement between us and the provider on how to assess when the child is ready to return. A joint plan will be put in place outlining the support package and resources needed from both the placement and [name of school] or new school to help the child to reintegrate back into schooling successfully.

All objectives and plans will be agreed with all relevant stakeholders, including the parent carers and child, where appropriate. Objectives, plans, roles and responsibilities will be set out in writing by the provider and regularly reviewed with all stakeholders.

When a decision is made to commission an alternative provider to offer outreach support, we will agree on the nature of the intervention, the intended outcomes, and how progress will be monitored and evaluated. Any intervention will be led by the evolving needs of the child and will be kept under review.

#### 6. Pre-Placement

Pre-placement, Springwood High School will ensure that the following checklist has been met:

- a) Liaison with all relevant stakeholders (including the pupil, parent carer, EHCP Coordinator, social worker, Virtual School Advisor for Children in Care, health professional etc.) to ensure that the planned provision is in the best interest of the child
- b) Following initial contact with the AP setting, a site visit and record using the **01 Pre-placement visit record** ([Appendix 1](#))

- c) Completion of the **02 Initial Referral and Admissions** ([Appendix 2](#)) form to include the following:
- a. Key pupil details
  - b. Emergency contacts
  - c. Agreed course offer, start date, length of course including a taster day if appropriate
  - d. Agreement that the pupil will attend **no more** than 4 sessions (2 days) per week, to avoid any risk of the setting being deemed an illegal school (see above and the Norfolk County Council Directory for more information)
  - e. Key professional contacts
  - f. Core aims and objectives of the placement
  - g. How progress will be monitored and communicated back to Springwood High School (when, how, how often)
  - h. If and how the placement contributes to the pupil's post-16 plans
  - i. SEND/EAL needs of the pupil, including relevant EHCP targets as appropriate
  - j. If appropriate, links to the pupil's Individual Healthcare plan; GP contact details
  - k. Youth Justice Service contacts if appropriate
  - l. How **daily** attendance will be reported back to Springwood High School, procedures for non-attendance
  - m. School DSL contact details and agreement for the recording and communicating of safeguarding concerns
  - n. Photo consent
  - o. Behaviour expectations which are in line with the school's own policy (i.e., no smoking etc.); the **04 Learner Code of Conduct** ([Appendix 4](#)) may be used. How will behaviour incidents (including praise and positive feedback) be communicated? How will such feedback contribute to Springwood High School's tracking system for behaviour (and impact on rewards if, for example, reward trips depend on a number of positive points earned)
  - p. Risk assessment
  - q. Agreement of what will happen if the pupil is suspended from school and the suspension impacts on the days during which they would normally be at the AP
  - r. Equipment, clothing required
  - s. Contact with animals and any relevant risk assessments
  - t. Transport
  - u. How lunches and/or snacks will be provided; especially if the pupil is in receipt of Free School Meals, and/or if they have a food allergy/intolerance/are pregnant etc.
  - v. How the setting/school will communicate with parent/carers
  - w. If a TA or other school colleague will accompany the pupil, their contact details and what will happen if that colleague is absent for any reason
- d) If relevant, a pre-placement baseline assessment (helpful if the placement is for social, emotional and/or to improve behaviour). Suggestions are available in the document **03 Pre-placement baseline** ([Appendix 3](#)) if the school does not already have a social and emotional tracking system in place.
- e) Funding: additional funding may be available to the school for an AP placement. Please refer to [SEND funding - Schools \(norfolk.gov.uk\)](#) for further guidance
- f) The operational lead for the oversight of pupils attending off-site AP will ensure that all relevant documentation are stored centrally at O:AdminDrive/Admin/Alternative Provision to ensure access as required
- g) Springwood High School understands that when AP is commissioned to meet the specific needs of a pupil, they have the responsibility to ensure that the pupil is not disadvantaged in respect of being kept safe, attendance or educational outcomes, including personal development (access to visits and trips, for example).

## 7. Oversight of Placements

Responsibility for the oversight of the alternative provision used always rests with the local authority or school that commissioned the placement.

Schools should always inform the local authority when they commission a placement in alternative provision for a child to ensure the local authority maintains oversight of sufficiency and safeguarding.<sup>1</sup>

We will maintain regular contact with the provider and child, with clear procedures in place to exchange information, monitor progress and provide pastoral support. The child will not be removed from our admission register, and we will make every effort to ensure that the child continues to feel that they belong and are part of our school.

Pre-placement, Springwood High School and the AP provider will have agreed the frequency and method of progress reporting. This should take place at least once every half-term.

During the placement, a school colleague will visit the pupil on site and observe them undertaking the activity. A record of this visit should be logged on the form **05 Alternative Provision Progress visit record** ([Appendix 5](#)).

Where possible, the pupil's perspective and views should be recorded on the form **06 Mid or End of placement evaluation** ([Appendix 6](#)). If special needs are a barrier to communication, other methods may be appropriate (such as photographs showing that a non-verbal pupil is happy and engaged, for example).

Parent carers and the centre lead at the provision (or relevant tutor or key worker) should also complete form **06 Mid or End of placement evaluation** ([Appendix 6](#)). If relevant, other professionals (such as an EHCP Coordinator or Virtual School for Children in Care Adviser) may also contribute their views.

Evaluations and placement evidence may be shared during PEPs or EHCP reviews as appropriate.

If the mid-placement visit record and/or evaluation show that changes are required to the offer, such as the type of activity, days or times attended etc., then this should be reviewed, and the initial admissions form amended to reflect the changes.

Any pre-placement baseline assessments may be repeated mid-placement to demonstrate progress.

Springwood High School and the alternative provider will agree on appropriate reporting mechanisms, including how the provider can report any issues or concerns and how the provider keeps records on and reports back information about a child's attendance and progress in the provision.

We will maintain a full record of all placements, including a child's progress, achievements and destination following the placement. This will also include the child's own assessment of their placement.

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<sup>1</sup> Note this guidance states that schools 'should' provide this information to the LA. At the time of publication of this directory, there are not yet systems in place to facilitate this.

## 8. End of Placement

At the end of the placement, the form **06 Mid or End of placement evaluation** ([Appendix 6](#)) should be completed by the school, pupil, AP setting and parent/carer. If relevant, other professionals (such as an EHCP Coordinator or Virtual School for Children in Care Adviser) may also contribute their views.

Any pre-placement baseline assessments may be repeated at the end of the placement to demonstrate progress.

## 9. Safeguarding

[Keeping children safe during community activities, after-school clubs and tuition: non-statutory guidance for providers running out-of-school settings - GOV.UK \(www.gov.uk\)](#) provides guidance for AP settings on safeguarding.

Where a child is placed in alternative provision, Springwood High School continues to retain safeguarding duties towards the child and should therefore be satisfied that the provision is in a safe environment as well as meeting the child's pastoral and educational needs.

Springwood High School should always know where the child is during school hours. This includes having records of the actual address of the commissioned alternative provider and any subcontracted provision or satellite sites the child may attend.

We will regularly review placements. Reviews should be frequent enough (at least half-termly) to assure that the provision is achieving its objectives, that the child is regularly attending and that the placement continues to be safe and meets the child's needs.

Where safeguarding concerns arise, the placement should be immediately reviewed and terminated, if necessary, unless or until those concerns have been satisfactorily addressed. We will always have regard to Keeping Children Safe in Education guidance and Working Together to Safeguard Children.

There are currently no formal safeguarding requirements for safeguarding training in unregulated AP settings. Commissioning schools are required to check safeguarding arrangements at each unregulated AP setting used. Springwood High School will use the document **01 Pre-placement visit record**<sup>2</sup> ([Appendix 1](#)) to ensure that all safeguarding checks have been carried out pre-placement.

Springwood High School will obtain written confirmation from the alternative provider that appropriate safeguarding checks have been carried out on individuals working at the establishment, i.e. those checks that we would otherwise perform in respect of our own staff.<sup>3</sup> This includes written confirmation that the alternative provision provider will inform the commissioner of any changes to arrangements that may put the child at risk, e.g. staff changes, so that the commissioner can assure itself that appropriate safeguarding checks have been carried out on new staff.

[Keeping children safe in education - GOV.UK \(www.gov.uk\)](#) requires the following:

168. Where a school places a pupil with an alternative provision provider, the school continues to be responsible for the safeguarding of that pupil and should be satisfied that the provider meets the pupil's needs.

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<sup>3</sup> Template 07 can be used for this – see [Unregulated alternative provision templates - Norfolk Schools and Learning Providers - Norfolk County Council](#)

169. The cohort of pupils in Alternative Provision often have complex needs, it is important that governing bodies and proprietors of these settings are aware of the additional risk of harm that their pupils may be vulnerable to. Schools should obtain written information from the alternative provider that appropriate safeguarding checks have been carried out on individuals working at their establishment (i.e. those checks that schools would otherwise perform on their own staff). This includes written confirmation that the alternative provider will inform the commissioning school of any arrangements that may put the child at risk (i.e. staff changes), so that the commissioning school can ensure itself that appropriate safeguarding checks have been carried out on new staff.

Springwood High School will ensure that all unregulated settings commissioned are provided with the following key information. This may be recorded using the document **02 Initial Referral and Admissions** ([Appendix 2](#)) or Service Level Agreement.

- a) Name and contact details (telephone and email) for the school's Designated Safeguarding Lead
- b) Clear Service Level Agreement on how safeguarding concerns will be communicated, followed up and by whom; and how regular communication between the school and unregulated AP will be assured. [Appendix 2](#) may also be used for this purpose.

Pupils attending unregulated AP may feel more at ease and therefore make disclosures more readily. It is therefore **essential** that the school and AP setting agree procedures before any placement starts. As noted in [Working together to safeguard children 2023: statutory guidance \(publishing.service.gov.uk\)](#), Rapid reviews and child safeguarding practice reviews have highlighted that **missed opportunities to record, understand the significance of, and share information in a timely manner** can have severe consequences for children (p18).

It may be good practice for Pupils attending off-site AP to be a standing agenda item for DSL meetings, to ensure that colleagues responsible for safeguarding are able to address issues and identify any patterns or trends.

Springwood High School will ensure a risk assessment is undertaken before the child starts which assures the school that there are appropriate safeguarding arrangements in place. A schedule of visits should be implemented to provide ongoing assurances that the unregulated AP is appropriate for the child and safeguarding arrangements in place are robust.

Springwood High School will gain assurances from the unregulated AP in relation to their safeguarding policy, and procedures, the training attended by staff and that appropriate safer recruitment checks have been undertaken as required in part 3 of [Keeping children safe in education - GOV.UK \(www.gov.uk\)](#). See also [Appendix 7](#).

Pupils attending unregulated AP should know how to report worries or concerns and to whom. This should be the same for their parents or carers. There should be a relationship where children can talk freely to all members of staff if they are concerned or worried. Children will be reassured that they are safe and everything they say is taken seriously.

[Name of school] will ensure that relevant staff have regular communication with the child to give them the opportunity to share what is going well and ask if they have any concerns.

## 10. Attendance

It is essential that the unregulated AP setting communicates attendance daily within 30 minutes of the planned arrival time, (unless accompanied by a member of school staff). Agreement on how and to whom this will be communicated must be reached and recorded pre-placement (see [Appendix 2](#) or use the Service Level Agreement). It is not sufficient for an AP setting only to communicate absence.

Pupils attending an off-site **registered** AP school (such as a PRU or hospital school) should be coded as D as they will be temporarily dual-registered.

Pupils attending off-site unregulated AP where there is **face-to-face, supervised provision**, should be coded as B in the register, but only once the AP setting has confirmed daily attendance. The register **must not** be flood-coded ahead of time.

If the AP placement has been arranged by the local authority, the absence should be recorded as K.

Some pupils may be accessing online provision which is not face-to-face (even on screen); this should be coded as C.

Senior Leaders will ensure that all colleagues working in attendance understand these codes.

Further detail and guidance is available at [Working together to improve school attendance - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/publications/working-together-to-improve-school-attendance)

## 11. Ofsted<sup>4</sup>

During an Ofsted inspection, the following will apply. See [School inspection handbook - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/publications/school-inspection-handbook) and [Independent schools inspection handbook - GOV.UK \(www.gov.uk\)](http://www.gov.uk/government/publications/independent-schools-inspection-handbook) Note that this is a summary only; further detail can be located via the inspection handbooks and the Norfolk County Council Directory of Unregulated Alternative Provision

1. **Information request:** The lead inspector will request information about any off-site AP during the initial telephone conversation. In order that this information is readily available, Springwood High School will maintain an accurate and up to date register/log of all pupils attending off-site AP. Responsibility for ensuring that this record is up to date is overseen by the senior leader responsible for alternative provision. The register will include (as a minimum) names of pupils, year groups, key information (e.g., EHCP, LAC, EAL etc.), AP attended, key contact, address, days and times, the core purpose(s) of the provision.
2. **Parent carer views:** Ofsted provide a letter to pass on to parent carers to notify them of an inspection. The member of staff commissioning the AP will ensure that the parent carers of all pupils attending off-site AP receive this notification.
3. **AP contact/visits:** The senior leader responsible for alternative provision will ensure that all unregulated AP settings commissioned by the school are informed of an inspection. In some cases, inspectors will telephone or visit an unregulated AP setting to verify that Springwood High School's leaders have ensured that the placement is safe and appropriate.
4. **Registration status<sup>5</sup>:** Inspectors will ask the school about the registration status of any APs that they use. Any provider of AP must be registered as an independent school if it caters full time for 5 or more pupils of compulsory school age, or one pupil who is in care and/or has an education, health and care plan [EHCP]. Springwood High School will ensure that the registration status of any unregulated AP has been checked to ensure that it is not using a provider operating as an illegal school. If the school uses AP that should be registered but is not, inspectors will carefully consider whether this affects the likelihood that pupils are safeguarded effectively. If the school uses an unregistered provider unknown to Ofsted, the inspector will inform the duty desk of the Ofsted unregistered schools team.
5. **Rationale:** Inspectors will consider the appropriateness of the commissioned placement(s), whether leaders at Springwood High School have ensured that appropriate checks have been carried out, the extent to which the pupil(s) benefit from a broad and

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<sup>4</sup> Information correct as of August 2025

<sup>5</sup> [Registration of independent schools, Departmental advice for proprietors and prospective proprietors of independent schools in England; August 2019](http://www.gov.uk/government/publications/registration-of-independent-schools)

balanced curriculum if they attend off-site AP, and the attendance, behaviour and personal development of those pupils.

6. **Ofsted judgements:** Most importantly, inappropriate or insufficient checks on the commissioning of unregulated AP may have serious consequences for the safety of a child. In addition, this may also negatively impact on an Ofsted inspection judgement. Springwood High School recognises that ineffective or inappropriate checks may lead to an inadequate judgement for leadership and management. Likewise, if pupils attending unregulated AP behave poorly or are unsafe, this may result in an inadequate judgement for behaviour and attitudes.

## 12. Governance

Springwood High School will ensure that there is effective governance and oversight of the school's commissioning of unregulated AP. The nominated governor/trustee is named on the front of this policy.

The nominated governor will monitor Springwood High School's use of unregulated AP via the Headteacher's termly report to governors (if a section for this does not pre-exist, it is recommended that it be added) and via the operational lead for this area of work. The nominated governor will ensure that this policy is updated annually, in line with national and local guidance.

## 13. Policy Information

<b>Date of policy review</b>	<b>January 2026</b>
<b>Reviewed by</b>	N Wills
<b>Role</b>	Associate Headteacher
<b>SLT responsible for oversight of the commissioning and operation of unregulated AP</b>	N Wills
<b>Nominated governor with oversight of the commissioning of unregulated AP</b>	
<b>Policy due for review (date)</b>	January 2027
<b>This policy must be read in conjunction with these school policies</b>	<i>Safeguarding Behaviour Attendance Medical Needs</i>

# Appendix 1



## Unregulated Alternative Provision 01 Pre-placement visit record

<b>Name of AP setting</b>	
<b>Address</b>	
<b>Telephone</b>	
<b>Key contact at the AP setting (name/role)</b>	
<b>Email</b>	
<b>Pre-placement visit carried out by (name/role)</b>	
<b>School/organisation</b>	
<b>Email</b>	
<b>Date of visit</b>	

## PRE-PLACEMENT

	Y/N	By (name/role)	Date	Comments
Has the commissioner carried out a pre-placement visit to the setting?				
Has the young person been actively involved in planning for this placement?				
Has the parent/carer been actively involved in planning for this placement?				
Have any other relevant professionals been actively involved in planning for this placement? (e.g., LAC Adviser, EHCP Co, YOT key worker etc.)				
Has a taster session been arranged for the young person?				
Has the commissioner requested references/recommendations				

	Y/N	By (name/role)	Date	Comments
from other schools/commissioners?				
Has the commissioner requested and received a copy of the Norfolk County Council Quality Assurance visit report <b>from the provider?</b> (if available)				
Has the commissioner checked the <a href="#">Norfolk County Council Unregulated Alternative Provision Directory</a> for information regarding legal duties (number of hours/days permitted)? <b>NOTE – the directory is not an approved list and commissioners are responsible for carrying out their own checks</b>				
Is the setting listed in the <a href="#">Unregulated Alternative Provision Directory</a> ? If not, please contact <a href="mailto:unregulatedap@norfolk.gov.uk">unregulatedap@norfolk.gov.uk</a>				
Is the commissioner aware of the checks that <b>Ofsted</b> may make when schools commission Alternative Provision? (see the <a href="#">Unregulated Alternative Provision Directory</a> )				
Does the AP setting have a website? Has the referrer checked this?				
Does the setting have a social media feed? Has the commissioner checked this for any potential concerns?				
Has the AP setting been QA'd by NCC? If so, has the setting made the report available to you? <sup>6</sup>				
Is the school/commissioner confident that the setting is not operating illegally (see <a href="#">Unregulated Alternative</a>				

<sup>6</sup> NCC will not provide external school commissioners with QA reports, but AP settings are free to share their own reports with schools/academy trusts.

	Y/N	By (name/role)	Date	Comments
<a href="#">Provision Directory</a> for further details and DfE guidance)?				

## SAFEGUARDING

	Y/N	By (name/role)	Date	Comments
Is the AP setting a member of the <a href="#">Safer Programme page   Norfolk Safeguarding Children Partnership   PWWC (norfolkscp.org.uk)</a> ?				
Does the AP setting have an appropriate safeguarding policy?				
When a pre-placement visit was carried out, were signing-in procedures appropriate?				
Was information provided about safeguarding leads?  (e.g., leaflet, posters, lanyards etc.)				
Who in the AP setting has been trained in safeguarding? When? Is there evidence of training?				
Are staff trained in working with young people with SEND?				
Does the commissioner have assurance that all staff have up to date DBS checks in place?				
What is the AP setting's GDPR policy?				
What is the AP setting's photo consent policy?				
Does the AP setting have an appropriate system for recording safeguarding concerns?				
Does the AP setting have an appropriate system for notifying commissioners/schools of safeguarding issues <b>without delay</b> ? <sup>7</sup>				

<sup>7</sup> Note: **Rapid reviews and child safeguarding practice reviews have highlighted that missed opportunities to record, understand the significance of, and share information in a timely manner can have severe consequences for children** from [Working together to safeguard children 2023: statutory guidance \(publishing.service.gov.uk\)](#) p18.

Does the AP setting have a secure method of storing safeguarding concern forms/files?				
Is there a single central record which includes all staff and volunteers? (See <a href="#">Keeping children safe in education - GOV.UK (www.gov.uk)</a> from paragraph 273)				
Has the commissioner agreed that <b>daily</b> attendance/absence will be communicated to the commissioner/school within 30 minutes of the child's planned arrival time?				
Is the site secure?				
Does the AP confirm that the pupil will not be permitted to leave the site unless this is part of the provision, and is supervised?				
If the site is not secure, have potential risks been addressed?				
Are there post-16 or adults also learning on site at the setting? If so, how is safeguarding for school-age young people being ensured?				
As per <b>KCSIE</b> , has the school received <b>written confirmation</b> from the AP that <i>appropriate safeguarding checks have been carried out on individuals working at the establishment, i.e., those checks that the school would otherwise perform in respect of its own staff</i> <sup>8</sup>				
Does the AP have a policy on physical intervention? If restraint				

<sup>8</sup> Providers may use the template at Appendix 7 in the 00 Model Policy for the Commissioning of Unregulated Alternative Provision found at [Unregulated alternative provision templates - Norfolk Schools and Learning Providers - Norfolk County Council](#)

is used, who is trained and is this up to date?				
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## HEALTH AND SAFETY

	Y/N	By (name/role)	Date	Comments
Does the AP setting have adequate insurance? (see below) Can they provide certificates to show this? On the certificates, do the amounts covered (£) match those recommended?				
Does the AP setting have an adequate Health and Safety policy?				
Is there an appropriate Risk Assessment template? If not, use sample provided <sup>9</sup> .				
Can the AP setting demonstrate that it has appropriate fire risk assessments?				
Can the AP setting demonstrate that it has a fire evacuation plan and regularly carries out practice fire evacuation procedures?				
Does the AP setting have a First Aid policy?				
Who are the AP setting's trained First Aiders? How are they identified (e.g., posters, lanyards etc.)?				
Has the commissioner seen evidence of in-date First Aid training certificates?				
If the AP setting involves contact with animals, have all appropriate safety measures been agreed?				
If the AP setting involves the use of machinery and/or tools, has a risk assessment been created?				
If the placement involves the use of machinery/tools,				

<sup>9</sup> Sample available in form 02 Initial Referral and Admissions at [Unregulated alternative provision templates - Norfolk Schools and Learning Providers - Norfolk County Council](#)

when/how will the young person receive suitable training?				
Will the young person require any special clothing or equipment? If so, who will provide this?				
Is the environment appropriate for the young person? Is it well-maintained?				
If off-site visits or trips form part of the placement, are suitable risk assessments in place?				
If the provision takes place in the family home, have appropriate checks been carried out? Does the setting have a lone-worker policy to ensure appropriate safeguarding?				

## BEHAVIOUR

	Y/N	By (name/role)	Date	Comments
Does the AP setting have an appropriate behaviour policy/code of conduct?				
Is there a rewards system? Can this be linked to the school's own system?				
Are there any sanctions? What are they?				
What is the policy around smoking/vaping? This should <b>not be permitted</b> for any school-age child.				
How does the AP setting demonstrate that behaviour management is strong?				
Are appropriate systems in place for recording and communicating behaviour incidents?				
Does the AP setting have its own behaviour contract/code of conduct which the young person is required to sign?				
Have the commissioner and setting agreed on processes if				

the placement does not work/is not appropriate?				
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## PROVISION OFFER

	Y/N	By (name/role)	Date	Comments
Does the school have clear aims and objectives for this AP placement in line with the young person's curriculum?				
Does the school have clear aims and objectives for this AP placement in line with the young person's post-16 plans?				
Will the young person be undertaking any qualifications?				
Can the AP setting provide evidence of a success rate with these qualifications?				
How can the AP setting demonstrate that teaching and learning is of a high standard?				
Has the commissioner carried out a pre-placement baseline assessment which can be reviewed to assess progress?				
Are appropriate progress tracking systems in place?				
Has the commissioner agreed how and when progress at the AP setting will be communicated to the school?				
Have appropriate arrangements been made for transport?				
Have appropriate arrangements been made for snacks and lunches?				
If the young person receives Free School Meals – how will they receive their entitlement?				

### Recommended Levels of Insurance Cover

- Public Liability insurance for a minimum of five-million-pound sterling (£5,000,000) in respect of any one act or occurrence or series of acts or occurrences in any one year

- Employer's Liability insurance for a minimum of ten-million-pound sterling (£10,000,000) in respect of any one act or occurrence or series of acts or occurrences in any one year
- Professional Negligence insurance for a minimum of two-million-pound sterling (£2,000,000) in respect of any one act or occurrence or series of acts or occurrences in any one year
- The Service Provider and its Personnel shall have in place motor vehicle insurance commensurate with the potential liabilities of the Service Provider relating to the operation of vehicles used for the transport of Service User/s and their visitors
- Subcontractor Liability – the Service Provider shall ensure that the same levels of insurance are maintained for any sub-contracted Services

The onus is on the Service Provider to ensure that its insurance policies are always adequate to cover eventualities pertaining to its business, but the school also holds a responsibility to pupils placed there.

#### **Relevant documentation**

- Alternative Provision – Statutory guidance for local authorities - DfE January 2013 (Also applies to *governing bodies and head teachers; state schools; academies; PRUs; AP providers*)  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/268940/alternative\\_provision\\_statutory\\_guidance\\_pdf\\_version.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/268940/alternative_provision_statutory_guidance_pdf_version.pdf)
- [www.gov.uk](http://www.gov.uk) Keeping children safe during community activities, after-school clubs and tuition: non-statutory guidance for providers running out-of-school settings - GOV.UK (www.gov.uk)
- Keeping Children Safe in Education: Statutory guidance for schools and colleges  
[www.gov.uk](http://www.gov.uk) Keeping children safe in education - GOV.UK (www.gov.uk)
- Unregistered independent schools and out of school settings – DfE March 2018  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/690495/La\\_Guidance\\_March\\_2018.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/690495/La_Guidance_March_2018.pdf)

# Appendix 2

## 02 Initial Referral (Section A) and Admission form (Section B)

**SECTION A** to be completed **prior** to placement being agreed

**SECTION B** to be completed when **placement has been agreed**

Where relevant, cells have a variety of possible responses; colleagues should delete the information as applicable. All cells may be expanded. The pupil name repeats as a header across each page.

### SECTION A

<b>PUPIL NAME</b>	
<b>DATE OF BIRTH</b>	
<b>School</b>	
<b>Year group</b>	
<b>School key contact name</b>	
<b>School key contact role</b>	
<b>School key contact telephone</b>	
<b>School key contact email</b>	
<b>ULN Number</b>	
<b>% attendance at time of referral</b>	
<b>SEND</b>	NO KNOWN SEND SEND SUPPORT EHCP IN APPLICATION EHCP IN YES TO ASSESS STAGE EHCP IN DRAFT EHCP IN PLACE
<b>If the pupil has an EHCP, have the relevant sections/targets been attached to this referral?</b>	YES NO N/A
<b>Does the pupil have an Individual Learning Plan (ILP)?</b>	YES NO N/A
<b>Is the ILP attached to this referral?</b>	YES NO N/A
<b>Has the pupil undergone a risk assessment?</b>	YES NO N/A
<b>Is a copy of the risk assessment attached to this referral?</b>	YES NO N/A
<b>Is the pupil a child in care?</b>	YES NO
<b>Is the pupil an Unaccompanied Asylum Seeker?</b>	YES NO
<b>Is the pupil a refugee?</b>	YES NO

<b>PUPIL NAME</b>	
If yes, (to any of the 3 previous Qs) is the Virtual School aware of this referral?	YES NO N/A
Does the pupil have an Individual Healthcare Plan?	YES NO N/A
If the pupil has an Individual Healthcare Plan, is it attached to this referral?	YES NO N/A
Is the pupil open to social care?	YES NO FSP S17 S47 OTHER
If any other agencies are involved, please list here	
Does the pupil have a Behaviour Support Plan?	YES NO N/A
If the pupil has a Behaviour Support plan, is it attached to this referral?	YES NO N/A
Day(s) / timings required (NO MORE THAN 2 FULL DAYS OR 4 SESSIONS)	
Preferred attendance duration	<i>E.g., one term</i>
Proposed start date	
Proposed end date	
Does the pupil attend any other Alternative Provision?	YES NO N/A
If Yes, please specify days and times	
If Yes, which course(s) (provide level)	
Is the pupil a Young Carer?	YES NO
Is the pupil from a Gypsy, Roma or Traveller community?	YES NO
<b>SECTION B</b>	
<b>CORE INFORMATION</b>	
Gender	MALE FEMALE IDENTIFIES AS MALE IDENTIFIES AS FEMALE NON-BINARY
Ethnicity <sup>10</sup>	WHITE BRITISH IRISH WHITE GYSPY ROMA TRAVELLER OF IRISH HERITAGE ANY OTHER BACKGROUND WHITE AND BLACK CARIBBEAN AND BLACK AFRICAN WHITE AND ASIAN

<sup>10</sup> [List of ethnic groups - GOV.UK \(ethnicity-facts-figures.service.gov.uk\)](https://www.gov.uk/ethnicity-facts-figures)

<b>PUPIL NAME</b>	
	ANY OTHER MIXED OR MULTIPLE ETHNIC BACKGROUND INDIAN PAKISTANI BANGLADESHI CHINESE ANY OTHER ASIAN BACKGROUND BLACK AFRICAN BLACK CARIBBEAN ARAB ANY OTHER ETHNIC GROUP
<b>Name of parent/carer</b>	
<b>Email of parent/carer</b>	
<b>Mobile telephone</b>	
<b>Home telephone</b>	
<b>Work telephone</b>	
<b>Emergency contact 1 Name/relationship</b>	
<b>Emergency contact 1 Telephone number</b>	
<b>Emergency contact 2 Name/relationship</b>	
<b>Emergency contact 2 Telephone number</b>	
<b>Course/provision offer</b>	
<b>Days and times to attend (NO MORE THAN 4 SESSIONS TOTAL/2 FULL DAYS)</b>	
<b>Agreed taster date (if applicable)</b>	
<b>Agreed start date</b>	
<b>Planned end date</b>	
<b>Time and method of arrival (please state if different on different days)</b>	
<b>Time and method of departure (please state if different on different days)</b>	
<b>If relevant, EHCP Coordinator email</b>	
<b>If relevant, youth justice worker email</b>	
<b>If relevant, Virtual School Children in care Adviser email</b>	
<b>If relevant, social worker/FSP email</b>	
<b>SAFEGUARDING</b>	
<b>Attendance</b>	<i>Please document <b>how</b> attendance at the AP setting will be communicated to the school/commissioner – <b>must be within 30 minutes of the child's agreed arrival time</b></i>

<b>PUPIL NAME</b>	
	<p><i>Method (e.g., by email/text/phone call to the key contact/school pastoral lead/attendance lead)</i></p> <p><i>Provide relevant email addresses/telephone numbers and name/role of key contact</i></p>
<b>Procedures for non-attendance</b>	<p><i>If the pupil has not arrived by (insert time), the following will take place (this list is to be adapted by the school/commissioner):</i></p> <p><i>School/commissioner informed as per the agreement above</i></p> <p><i>Telephone call to the pupil's parent/carer</i></p> <p><i>Telephone call to the relevant professional (provide detail as necessary. For example, it would not necessarily be essential to inform an EHCP Coordinator, but if the pupil is at risk, then the social worker/FSP/youth justice worker may need informing)</i></p> <p><i>If the pupil's whereabouts are not known – indicate agreed safeguarding procedures here</i></p>
<b>School Designated Safeguarding Lead name</b>	
<b>School Designated Safeguarding Lead email</b>	
<b>School Designated Safeguarding Lead telephone</b>	
<b>Agreed process for the recording and informing of a safeguarding concern<sup>11</sup></b>	<p>This checklist is to be adapted by the school/commissioner according to its own safeguarding policy and processes:</p> <p>Has the school shared its own preferred safeguarding record form? Has a minimum timeline been agreed? (e.g., within 30 minutes etc.)</p> <p>Has the AP setting shared a copy of its safeguarding record form?</p> <p>Sample forms and templates can be sourced at <a href="https://www.norfolk.gov.uk/safeguarding-forms-and-templates-schools">Safeguarding forms and templates - Schools (norfolk.gov.uk)</a></p> <p>Is there any safeguarding information that the AP setting needs to know in advance of a placement?</p> <p>Has a Risk Assessment been completed?</p> <p>Method of communication – detail how concerns will be shared and with whom (e.g., DSL contact, as above, via email using the school's safeguarding template/access to shared drive etc.)</p> <p>How will the AP setting log the concern?</p>

<sup>11</sup> Note: **Rapid reviews and child safeguarding practice reviews have highlighted that missed opportunities to record, understand the significance of, and share information in a timely manner can have severe consequences for children**, from [Working together to safeguard children 2023: statutory guidance \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/guidance/working-together-to-safeguard-children-2023) (p18)

<b>PUPIL NAME</b>	
	Who will follow this up? When? How?
<b>General</b>	Has the school checked the AP setting's own safeguarding policy? Has the school/commissioner checked that the pupil will not be mixing with post-16 students/adults who are not staff, while at the setting? Will any of the provision take place off-site/in the family home? Will this require an additional risk assessment or consent form?
<b>Photo consent</b>	Is photo consent required? Does the school or AP setting have consent to share photographs of this pupil on social media/on their website/in the press? Will additional consent be checked if needed (e.g., for a special event)?
<b>AIMS AND OUTCOMES</b>	
<b>KEY OBJECTIVE 1</b>	
<b>KEY OBJECTIVE 2</b>	
<b>KEY OBJECTIVE 3</b>	
<b>If these objectives are linked to PEP targets and/or EHCP outcomes, please list here</b>	
<b>How do the objectives meet the curriculum provision of this pupil? If relevant, please provide any current levels in core subjects</b>	
<b>If the aims are social/emotional, will any baseline tests be completed at the beginning and then during/at the end of the placement to demonstrate progress?</b>	
<b>How will the AP setting communicate progress? (format/regularity) To whom?</b>	
<b>If progress is not evident, what steps will be taken?</b>	
<b>How will all parties ensure that progress is shared with other relevant professionals (EHCP Co/LAC Adviser/social worker etc.)?</b>	
<b>Does the setting have a shared drive which the school contact can access to view progress?</b>	
<b>Will the pupil be working towards any qualifications? If so, provide detail, with expected levels and completion timeframes</b>	
<b>Agree dates and times when the school/commissioner can visit the pupil in</b>	

<b>PUPIL NAME</b>	
<b>the setting. (see 06Alternative Provision Progress Visit record)</b>	
<b>Agree that the school/commissioner may carry out unplanned visits to the pupil in the setting</b>	
<b>If in KS4-5 (Y10-13), how will this placement contribute to post-16/18 planning?</b>	
<b>Who is the careers lead at school? Are they aware of this placement?</b>	
<b>Will any careers advice be provided during this placement?</b>	
<b>Will the placement involve any work experience?</b>	
<b>How will progress during work experience be recorded? How will this be shared?</b>	
<b>Will the setting facilitate any college visits? How and when?</b>	
<b>SEND/Children in Care/Health/Youth justice information</b>	
<b>Core information What are the key needs for this young person?</b>	List the key needs here Does the pupil require additional adult support? Will this be provided by the school? (e.g., TA) If so, what are their contact details? List the basics of what AP staff need to know (this can be expanded in detail if required)
<b>EHCP/PEP/ILP/BSP targets</b>	List any relevant targets from the pupil's EHCP, PEP, Individual Learning Plan or Behaviour Support Plan If relevant, list key targets related to mental health and/or Social, Emotional and Mental Health [SEMH] issues How will this placement support the pupil to achieve these targets? Will AP colleagues be invited to reviews as appropriate? If so, please provide dates and times if known
<b>English as an additional language</b>	If the pupil speaks a language other than English as their first language, which languages are spoken at home? Will the pupil require any additional support?

<b>PUPIL NAME</b>	
	How will this be provided?
<b>Health</b>	<p>Does this pupil have an Individual Healthcare Plan? <a href="http://www.gov.uk">Supporting pupils with medical conditions at school - GOV.UK (www.gov.uk)</a></p> <p>Is there any other relevant health information?</p> <p>Does the pupil have an inhaler/EpiPen/other health equipment?</p> <p>Does the pupil take any medication during the day?</p> <p>Does this require secure storage?</p> <p>If so – it must be provided to the setting in the original box with dosage instructions (not a cut out blister pack)</p> <p>Does the pupil have any access requirements?</p>
<b>GP contact details</b>	Please provide the name of the pupil's GP, surgery address and telephone number
<b>Youth justice</b>	<p>If the pupil has a youth justice worker, please add their contact details here.</p> <p>Have they been notified of this placement?</p> <p>Have you checked in with the youth justice worker to ensure that the setting is advisable on a given day (e.g., to avoid mixing with known associates if inappropriate)?</p>
<b>BEHAVIOUR</b>	
<b>Expectations</b>	<p><i>Has the 05Learner Code of Conduct been completed?</i></p> <p><i>Summarise here the expected behaviour from the pupil, e.g.</i></p> <p><i>XX will arrive on time</i></p> <p><i>XX will not smoke on site</i></p> <p><i>XX will complete all work to the best of their ability</i></p> <p><i>XX will follow instructions etc.</i></p>
<b>Policy</b>	<p><i>Has the school checked the Behaviour policy/expectations of the setting?</i></p> <p><i>If the pupil attends more than 1 AP setting, are the expectations different?</i></p> <p><i>What are the potential consequences of this?</i></p> <p><i>What is the setting's policy around smoking?</i></p> <p><i>What is the policy on leaving the AP site?</i></p> <p><i>Has the AP setting shared its use of sanctions with the commissioner (if relevant)?</i></p> <p><i>How often (and to whom) will the AP setting report back to the school on the pupil's behaviour?</i></p> <p><i>Has the school shared its behaviour system with the AP setting and is it possible for the setting to contribute to this (e.g., issuing a</i></p>

<b>PUPIL NAME</b>	
	<p><i>'positive' point). Provide detail of how this will be communicated.</i></p> <p><i>Is there a rewards policy? Has this been shared? Will the pupil be able to transfer rewards between AP and school (so that they are not disadvantaged by not being at school for 1-2 days per week)?</i></p> <p><i>Have all policies been effectively shared and agreed with the pupil? If so – by whom and when?</i></p> <p><i>Does the AP setting have a policy on physical intervention? If so, who is trained and is that up to date?</i></p> <p><i>If the child may need to be restrained, who from school will support?</i></p>
<b>Suspension and exclusion</b>	<p><i>Has a discussion taken place, and agreement reached, on what would happen if the pupil received a suspension from school? E.g., will this impact on the AP setting? Will the suspension take place on the same day as the pupil would usually attend the AP? If so – how can this time be made up etc.</i></p> <p><i>Would there be circumstances in which a day spent at the AP could be in lieu of a suspension? E.g., to reflect upon behaviour and complete work in a different environment.</i></p> <p><i>If so, are there any cost/transport/lunch/consent implications etc.?</i></p>
<b>EQUIPMENT/USE OF MACHINERY/TOOLS</b>	
<b>Equipment</b>	<p>Provide detail of what will be required ahead of the placement/what the AP setting will provide/if funding is required etc. (e.g., hard hats, appropriate footwear etc.)</p> <p>Are there any specific clothing requirements?</p> <p>Does hair need to be tied back?</p> <p>Is jewellery permitted?</p> <p>Does the AP setting maintain logs to evidence that pupils have received appropriate training?</p>
<b>Use of machinery, tools and/or digital equipment</b>	<p>Has an appropriate risk assessment with regard to the use of tools, machinery and/or digital equipment been agreed?</p> <p>What is the induction process?</p> <p>What will be the staffing ratios at the setting?</p>
<b>Animals</b>	<p>If relevant, how will the pupil receive appropriate induction in handling/assisting with animals?</p> <p>Is any appropriate clothing required?</p>

<b>PUPIL NAME</b>	
	Are there any health risks associated with contact with animals (e.g., allergies)?
<b>PRACTICALITIES</b>	
<b>Transport</b>	<p>How will the pupil travel to and from the AP setting</p> <p>If by taxi, what are the key contact details for the taxi company?</p> <p>If via another adult not named above – provide contact details</p> <p>If transport is not available on a given day, what steps will be taken?</p>
<b>Lunch/snacks</b>	<p>Are snacks/lunch provided?</p> <p>If the pupil is entitled to Free School Meals, how will the school ensure that lunch is provided? (e.g., if a packed lunch is provided at school, but the pupil is travelling direct from home)</p> <p>Does the pupil have any food allergies/dietary requirements?</p> <p>Is there a setting policy (e.g., no nuts on site etc.)?</p> <p>Is there a tuck shop and/or vending machine on site? What is provided? Will the pupil require cash?</p> <p>Is drinking water provided on site?</p>
<b>Other as appropriate (can be deleted/adapted)</b>	

## RISK ASSESSMENT

<b>Pupil name</b>	
<b>School</b>	
<b>AP setting</b>	

This risk assessment is used to develop an understanding of the pupil's needs and how to best address them within the placement. The risk assessment will be assessed and reviewed at regular intervals, including after an incident has occurred, to see if risks have become less or more prevalent. Any changes will be communicated to parent carers and school/commissioner.

**Rows can be added, expanded or deleted. The suggested scores are for guidance only. Higher scores represent higher risk.**

<b>Risk Factor</b>	<b>Always</b>	<b>Often</b>	<b>Sometimes</b>	<b>Rarely</b>	<b>Never</b>	<b>Notes</b>
Risk of absconding	5	4	3	2	1	
Danger to self	5	4	3	2	1	
Evidence of self-harm	5	4	3	2	1	
Ability to work independently	1	2	3	4	5	
Ability to work in a team	1	2	3	4	5	
Ability to work with tools and machinery if required	1	2	3	4	5	
Ability to follow instructions	1	2	3	4	5	
Requires 1:1 adult supervision	5	4	3	2	1	

<b>Risk Factor</b>	<b>Always</b>	<b>Often</b>	<b>Sometimes</b>	<b>Rarely</b>	<b>Never</b>	<b>Notes</b>
Attends regularly	1	2	3	4	5	
Ability to travel safely (e.g., in a minibus)	1	2	3	4	5	
Has a good concept of E-safety	1	2	3	4	5	
Risk of substance abuse (including alcohol/drugs)	5	4	3	2	1	
Risk of smoking	5	4	3	2	1	
Risk of aggression towards adults	5	4	3	2	1	
Risk of aggression towards peers	5	4	3	2	1	
Risk of carrying weapons	5	4	3	2	1	
Risk of bullying other young people	5	4	3	2	1	
Displays inappropriate sexual behaviour	5	4	3	2	1	
Any other relevant risks not mentioned above						

## Signatures<sup>12</sup>

We, the named persons below certify that we are authorised to refer the pupil named and accept the terms of business as agreed with the referring agency/school.

We confirm that all details are current, correct and that all relevant information has been shared.

We also agree to inform relevant parties (named below) of any changes in circumstance/support needs in writing/via email.

<b>Signatory</b>	<b>Signature</b>	<b>Date</b>
<b>Parent/carer</b>		
<b>Pupil</b>		
<b>School referrer</b>		
<b>AP contact/lead</b>		
<b>Other professional (name/role)</b>		

A completed copy of this form will be forwarded to:

- Parent/carer
- Pupil
- School contact
- AP contact
- EHCP Co
- Virtual School for Children in Care Adviser
- Youth justice Key worker
- NHS professional
- Other relevant professional

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<sup>12</sup> If electronic, the school/referrer must retain its own evidence of this (e.g., email, record of telephone conversation)

# Appendix 3

## 03 Pre-placement baseline (pupil)

If the Alternative Provision placement has an aim related to social and emotional or mental health, it may be appropriate to conduct a pre-placement questionnaire with the young person.

This can be revisited once every half term (for example) and progress measured.

Schools may have their own pre-existing templates, and/or systems such as [Boxall Profile Online](#) or [the THRIVE approach](#) which are already in use in school.

Alternative templates (for a range of ages and stages) can be accessed via the sites listed below.

- [The Strengths and Difficulties Questionnaire](#)
- The website provides easily downloadable questionnaires and scoring systems for use with school-age young people.
- [The Warwick-Edinburgh Mental Wellbeing Scale \(WEMWBS\)](#)
- Schools may register (without cost) to use this well-being scale questionnaire.
- [Assessment: Wishes & Feelings Archives - Free Social Work Tools and Resources: SocialWorkersToolbox.com](#)
- This website provides a variety of tools (questionnaires, feelings faces, feelings charts etc.) which are downloadable without charge.
- [Cafcass resources for professionals](#)
- This website provides resources such as a wishes and feelings pack, which can be used freely by schools.

# Appendix 4

## 04 Learner Code of Conduct agreement

This Code of Conduct is an agreement between the parties listed below. It can be adapted to suit the setting's existing behaviour policy.

<b>Pupil name</b>	
<b>Date of birth</b>	
School	
Year group	
School/commissioner contact name	
School/commissioner contact email	
School/commissioner contact telephone	
School/commissioner contact role	
Parent/carer(s) name	
Parent/carer(s) email	
Parent/carer(s) telephone	
AP lead name	
AP lead email	
AP lead telephone	

### Key Expectations

Please take time to read the expectations and code of conduct for attending our alternative provision [AP]. Many of the rules/expectations mirror those of mainstream and/or specialist schools. Learners are still expected to be able to maintain an appropriate level of behaviour and respect the boundaries that are in place.

<b>Whilst at my AP I agree to/have been told about the following</b>	<b>Pupil to sign here</b>
If I cannot attend for any reason, I will inform the AP by <i>(time)</i>	
I will arrive on time and ready to learn	
I will be respectful of all others and property	
I will do my best in all sessions	
I will wear appropriate clothing for the setting, in line with non-school uniform days. (No slogans, offensive or revealing clothing)	
If I require medication, I will hand it in upon arrival. My parent or carer will call in to discuss requirements	
I understand I may need special equipment or have to wear special clothing and agree to use or wear what is asked of me	
If I have an accident, I will inform my teacher/instructor straight away	

I have been told what to expect if there is a fire alarm and been shown where to go	
I understand I cannot leave site during the session/without supervision	
I understand that my mobile phone/smart watch needs to be in my bag away during the day	
I understand that school and AP sites are non-smoking and agree to adhere to the smoking, vaping, drug and alcohol rules	
I understand that breaching any of the above will lead to my parents/carers being called and consequences being put in place after discussion with my school	

By reading and signing this contract you are agreeing to adhering the rules of the designated alternative provider. If you would like anything explained in further detail now or over the course of your placement, please ask any of the named keyworkers above.

### Signatures<sup>1</sup>

We, the named persons below certify that we are authorised to refer the young person named and accept the terms of business as agreed with the referring agency/school. We confirm that all details are current, correct and that all relevant information has been shared.

We also agree to inform relevant parties (named below) of any changes in circumstance/support needs in writing/via email.

Signatory	Signature	Date
Parent/carer		
Young person		
School referrer		
AP contact/lead		
Other professional (name/role)		

A completed copy of this form will be forwarded to (delete as applicable):

- Parent/carer
- Pupil
- School contact
- AP contact
- EHCP Co
- Virtual School for Children in Care Adviser
- Youth justice Key worker
- NHS professional
- Other relevant professional

# Appendix 5

## 05 Progress visit to Alternative Provision (AP)

Note that the “06 Mid or End of placement evaluation form” can be completed during a progress visit (this may then replace some sections below).

With the agreement of the provider and pupil photographs may be taken of work completed to evidence progress in EHCP/LAC reviews/PEPs, for example.

### Core information

<b>Name of pupil</b>	
<b>Date of birth</b>	
<b>Name of AP</b>	
<b>Date and time of visit</b>	
<b>Visit completed by (name and role)</b>	
<b>Most recent risk assessment seen</b>	
<b>School risk assessment updated</b>	
<b>Copy received</b>	

### Visit procedures

<b>Was this visit planned or unannounced?</b>	
<b>On arrival, was your identity checked?</b>	
<b>On arrival, were you provided with any safeguarding information?</b>	
<b>On arrival, were you provided with any fire evacuation information?</b>	
<b>On arrival, were you signed in effectively?</b>	
<b>Was the site safe or were you able to gain access without appropriate challenge?</b>	
<b>Was it easy to identify staff (e.g., uniforms/lanyards)?</b>	
<b>Were the young people on site being effectively supported?</b>	
<b>Is the learner’s risk assessment being followed?</b>	
<b>Does the current risk assessment meet need?</b>	
<b>Is the AP setting communicating well with the school/commissioner on attendance?</b>	
<b>Is the AP setting communicating well with the school/commissioner on engagement?</b>	
<b>Is the AP setting communicating well with the school/commissioner on progress?</b>	
<b>Is the AP setting communicating well with the school/commissioner on behaviour?</b>	

<b>General comments</b>	<p><b>Provide detail if any of the answers above are 'no'.</b>  Add any other relevant comments/notes following your visit, e.g., safety on site, anything you saw which was done well, anything of concern; did you see any post-16 mixing with school-age pupils? Did you witness any inappropriate behaviour? Was the quality of instruction of a high standard? Was the atmosphere calm and purposeful? etc. (Cell can be expanded)</p>
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### Placement Objectives

Original objective	Progress to date
1.	
2.	
3.	
<b>Pupil's views on the placement</b>	Have you been enjoying the placement? What have you been learning? How has this helped you? What impact has it had on your time in school? What is the most useful thing about this placement? What support do you get here? If you weren't happy here, do you know who to speak to?
<b>Parent/carer views on the placement</b>	Is your child enjoying the placement? Have you noticed any changes in your child since starting the placement? Is attending the placement having a positive impact on your child when they are at school?
<b>Provider's view on the placement</b>	Does the pupil appear to be enjoying the placement? Does the pupil fully engage with all activities whilst here? Has there been any change in the behaviour of the pupil since attending? How do you manage any behaviour concerns?
<b>Identified actions:</b>	E.g., Do any of the objectives need revising or changing? Does the risk assessment need updating? Should the placement continue? Should the placement be extended?

**Signatures<sup>1</sup>**

We, the named persons below certify that we are authorised to refer the young person named and accept the terms of business as agreed with the referring agency/school.

We confirm that all details are current, correct and that all relevant information has been shared.

We also agree to inform relevant parties (named below) of any changes in circumstance/support needs in writing/via email.

<b>Signatory</b>	<b>Signature</b>	<b>Date</b>
<b>Parent/carer</b>		
<b>Young person</b>		
<b>School referrer</b>		
<b>AP contact/lead</b>		
<b>Other professional (name/role)</b>		

A completed copy of this form will be forwarded to:

- Parent/carer
- Young person
- School contact
- AP contact
- EHCP Coordinator
- Virtual School for Children in Care Adviser
- Youth justice keyworker
- NHS professional
- Other relevant professional

# Appendix 6

## 06 Mid or End of Placement Evaluation<sup>1</sup>

*This evaluation can be completed remotely, or during a progress visit (see "05 Alternative Provision Progress Visit").*

### Core information

<b>Pupil name</b>	
<b>Date of birth</b>	
<b>School/commissioner</b>	
<b>School/commissioner (name/role)</b>	
<b>AP lead completing this form (name/role)</b>	
<b>Date of visit and/or evaluation</b>	
<b>Dates of placement</b>	
<b>Course(s) completed</b>	

### Placement objectives

1
2
3

### Young person's evaluation

<i>If completed mid-placement, scores can be calculated and compared over time</i>	<b>Strongly agree</b>	<b>Agree</b>	<b>Agree and disagree</b>	<b>Disagree</b>	<b>Strongly disagree</b>
	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The adults at the AP are/were very skilled in what they are/were teaching/delivering.					
2. I receive(d) enough support whilst at the setting					
3. I always feel/felt safe whilst at the setting					
4. I know/knew who I can/could talk to if needed					
5. I understand/understood how the sessions are/were helping me to progress in the future					
6. I am more confident as a result of this placement					
7. I am coping better at school as a result of this placement					

8. I receive(d) enough support whilst at the setting					
9. I always feel/felt safe whilst at the setting					
10. I know/knew who I can/could talk to if needed					
11. I understand/understood how the sessions are/were helping me to progress in the future					
12. I am more confident as a result of this placement					
13. I am coping better at school as a result of this placement					

<b>Total score</b>	
<b>Has the score changed since any previous evaluation?</b>	
<b>General comments</b>	What are you enjoying/did you enjoy most? Is there anything you would like to see changed? How do you feel attending an AP has helped you? (Cell can be expanded)
<b>Signed/date</b>	

### Parent/carer evaluation

<i>If completed mid-placement, scores can be calculated and compared over time</i>	<b>Strongly agree</b>	<b>Agree</b>	<b>Agree and disagree</b>	<b>Disagree</b>	<b>Strongly disagree</b>
	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. I understand/understood why my young person was referred to an AP					
2. I felt included as part of the referral process					
3. I have received good communication throughout the AP placement					
4. The AP provides/provided a safe and friendly learning environment					
5. The AP is helping/has helped my young person to progress through education					

<b>Total score</b>	
<b>Has the score changed since any previous evaluation?</b>	
<b>General comments</b>	<i>Add more information on the scoring above including achievements made and any potential areas of on-going concern. (Cell can be expanded)</i>
<b>Signed/date</b>	

### Alternative Provider report

<b><i>If completed mid-placement, scores can be calculated and compared over time</i></b>	<b>Strongly agree</b>	<b>Agree</b>	<b>Agree and disagree</b>	<b>Disagree</b>	<b>Strongly disagree</b>
	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The initial objectives are being/have been achieved (provide detail below)					
2. The learner is attending/has attended well					
3. The learner is engaging/has engaged well					
4. The learner is making/has made academic progress (provide detail below)					
5. The learner is making/has made good progress in vocational courses					
6. The learner is making/has made SEMH progress					

<b>Total score</b>	
<b>Has the score changed since any previous evaluation?</b>	
<b>General comments</b>	<i>E.g. attendance data, achievements that have been made, objectives met and any potential areas of on-going concern, need for risk assessments to be reviewed etc. (Cell can be expanded)</i>
<b>Signed/date</b>	

### School/commissioner comment

<b><i>If completed mid-placement, scores can be calculated and compared over time</i></b>	<b>Strongly agree</b>	<b>Agree</b>	<b>Agree and disagree</b>	<b>Disagree</b>	<b>Strongly disagree</b>
	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
1. The rationale for sending the learner to AP are being/have been achieved					
2. The learner is coping/has coped better at school since attending.					
3. Attendance at school is improving/has improved since the placement started					
4. Engagement at school is improving/has improved since the placement started					
5. The learner's behaviour at school is improving/has improved since the placement started					
6. Communication has been clear between the school and the AP					
7. The AP placement has supported the learner's next steps					

<b>Total score</b>	
<b>Has the score changed since any previous evaluation?</b>	
<b>General comments</b>	<i>E.g., Do objectives need reviewing? Is an extension/cessation required? Does the learner require any additional support? (Cell can be expanded)</i>
<b>Signed/date</b>	

**Agreed actions as a result of this evaluation:**

**Once complete, forward copies of this evaluation to all relevant parties.**

# Appendix 7

## 07 Unregulated alternative provision safer recruitment written confirmation

As per [Keeping children safe in education - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

168. Where a school places a pupil with an alternative provision provider, the school continues to be responsible for the safeguarding of that pupil and should be satisfied that the provider meets the pupil's needs.

169. The cohort of pupils in Alternative Provision often have complex needs, it is important that governing bodies and proprietors of these settings are aware of the additional risk of harm that their pupils may be vulnerable to. Schools should obtain written information from the alternative provider that appropriate safeguarding checks have been carried out on individuals working at their establishment (i.e. those checks that schools would otherwise perform on their own staff). This includes written confirmation that the alternative provider will inform the commissioning school of any arrangements that may put the child at risk (i.e. staff changes), so that the commissioning school can ensure itself that appropriate safeguarding checks have been carried out on new staff.

Therefore **[name of school]** is obliged to obtain written confirmation of the following (according to Part 3 of [Keeping children safe in education - GOV.UK \(www.gov.uk\)](http://www.gov.uk))

Prior to any placement being agreed, the following must be completed by the AP centre lead or proprietor, signed and returned to the school. Failure to complete this form may result in placements being paused or ceased and funding withdrawn.

<b>Name of provision</b>	
<b>Address of provision</b>	
<b>Proprietor/centre lead name/role</b>	
<b>Proprietor/centre lead contact telephone and email</b>	
<b>Name and role(s) of colleagues who are safer recruitment trained</b>	
<b>Date of safer recruitment training</b>	

I, the undersigned, confirm that in respect of **all employees and volunteers** at the above named unregulated alternative provision, the following checks and procedures are in place

and affirm that all staff are suitable to work with children. I understand that the school may request sight of relevant documents during a pre or mid-placement visit.

1. **Staff files** are in place and contain evidence of
  1. **Application forms** containing
    1. personal details (current and former names, current address and national insurance number)
    2. details of their present (or last) employment and reason for leaving
    3. full employment history
    4. qualifications
    5. details of at least 2 referees
    6. a statement of personal qualities and experience
    7. a self-declaration of any criminal record or information which may make them unsuitable to work with children
  2. Evidence of right to work in the UK
  3. Photocopies of 2 identity checks (with a photograph)
  4. At least 2 references, including 1 from the applicant's current or most recent employer
  5. A risk assessment if required
  6. Copies of interview notes which determine the applicant's suitability to work with children
  7. Photocopies of qualifications
2. **A Staff tracker or single central record** which includes:
  - a. Name and address of employee/volunteer
  - b. Date employment started
  - c. Date identity checks carried out and by whom
  - d. Date DBS checked and by whom
  - e. Risk assessment in place yes/no
  - f. Right to work in the UK checks – when and by whom
  - g. Qualifications check – when and by whom
  - h. Prohibition order checks- when and by whom (for those in 'teaching activity')

<b>Signed</b>	
<b>Date</b>	
<b>Received by school (name/date)</b>	