Alternative Provision Guidance:

guiding principles for Lincolnshire schools to ensure that children and young people benefit from high quality alternative provision, which is safe, secure and appropriate to their individual needs.

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Lincolnshire COUNTY COUNCIL
Working for a better future

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Planning and Commissioning Alternative Provision

Introduction

This guidance is based upon Section 19(1) of the Education Act 1996, which defines the exceptional provision of education in pupil referral units or elsewhere, such as Alternative Provision providers. It follows the Alternative Provision Statutory Guidance , which provides a set of guiding principles that all Lincolnshire schools should follow.

The Lincolnshire Ladder of Behavioural Intervention ('the Ladder') is underpinned by current statutory guidance on Suspensions and Permanent Exclusions and its companion piece on Behaviour in Schools. The Ladder translates this advice into a clear protocol for Lincolnshire schools through an evidence-based approach to early intervention and signposting to resources available to enable the inclusion of vulnerable and disadvantaged pupils. The Ladder supports schools to work with the pupil and family to understand the underlying causes of behaviour through early intervention, and the additional support that is needed.

It is for individual schools to develop their own best practice for managing behaviour. Access to Alternative Provision can form part of whole school planning, including strategies, practices and interventions. Supporting pupils to improve their behaviour by ensuring that they benefit from high quality provision, which is safe, secure and appropriate to their individual needs.

The Ofsted School Inspection Handbook highlights the potential significant impact on an inspection outcome in relation to a school's use of Alternative Provision:

294. "A school is likely to be judged inadequate for leadership and management if:

- *it is making ineffective or inappropriate use of Alternative Provision;*
- *it is using inappropriate Alternative Provision;*
- *leaders have not taken the necessary steps to assure themselves of the suitability of a provision, including its COVID-19 safety arrangements;*
- *leaders are not aware of how many of their pupils attend Alternative Provision;*
- *leaders are not taking responsibility for their pupils who attend Alternative Provision."*

Where a pupil has an EHC plan, schools must ensure that they liaise with the Local Authority and inform the pupil's SEND Caseworker of the intention to access an Alternative Provision placement. A discussion must take place before progressing any further.

Schools are able to make their own arrangements with Alternative Provision providers. However, local authorities are expected to have a good understanding of any Alternative Provision, regulated and / or unregulated, directly commissioned or purchased by schools.

To enable Lincolnshire County Council to achieve this, we expect all Lincolnshire schools to complete and return information regarding all Alternative Provision providers you commission which are not arranged by Lincolnshire County Council; i.e. you do not need to complete this information for Springwell Academy or Pilgrim Hospital School.

The return for each Alternative Provision provider you commission needs to be completed at the start of each academic year and then as and when you commission more, if applicable, throughout the year.

Please ensure you complete the return at:
Alternative Provision Notifications - Lincolnshire County Council

What is Alternative Provision?

Alternative Provision is defined as *'education arranged by local authorities for pupils who, because of exclusion, illness or other reasons, would not otherwise receive suitable education; education arranged by schools for pupils on a fixed period exclusion; and pupils being directed by schools to off-site provision to improve their behaviour'* (DfE 2013).

Schools can use such provision to try to prevent exclusions, or to re-engage pupils in their education.

Who is this guidance for?

Lincolnshire provides access to Alternative Provision. This is via Lincolnshire's Ladder of Behavioural Intervention or via the Emotional Based School Avoidance (EBSA) pathway or medical route. Where schools do not wish to commission Lincolnshire's arranged Alternative Provision, they can commission their own arrangements with Alternative Provision providers.

This guidance is to support schools with both situations; commissioning Alternative Provision via the Local Authority's provided placements or when making their own arrangements.

It is expected that this guidance will be used by all schools, academies and specialist providers when commissioning Alternative Education for children and young people who may be: -

- At risk of exclusion from school; or
- Suspended from school; or
- At risk of disengaging from mainstream education; or
- Unable to access school for medical reasons that cannot be met by school making reasonable adjustments; or
- Otherwise require Alternative Education provision to meet their educational entitlement, for instance in line with an Education, Health and Care (EHC) Plan or is a Child in Care (CiC) with no school place.

What is good Alternative Provision?

Good Alternative Provision is that which appropriately meets the needs of those pupils that require its use. Enabling them to achieve good educational attainment on par with their mainstream peers. All pupils must receive a good education, regardless of their circumstances or the settings in which they find themselves. Provision will differ from pupil to pupil, but there are some common elements that Alternative Provision should aim to achieve, including:

- Good academic attainment on par with mainstream schools – particularly in English, maths and science (including IT) – with appropriate accreditation and qualifications;
- Specific personal, social and academic needs of pupils are properly identified and met in order to help them to overcome any barriers to attainment;
- Improved pupil motivation and self-confidence, attendance and engagement with education; and
- Clearly defined objectives, including the next steps following the placement such as reintegration into mainstream education, further education, training or employment.

(DfE 2013)

What schools should know?

Responsibility for the Alternative Provision used rests with the school commissioning the placement; this includes commissioning Alternative Provision via the Local Authority's provided placements or when making their own arrangements. Commissioning schools should carefully consider what providers are available that can meet the needs of their pupils, including the quality and safety of the provision.

The school commissioning the placement should maintain on-going contact with the provider and pupil, with clear procedures in place to exchange information, monitor progress and provide pastoral support.

The school commissioning the placement should maintain a full record of all placements they make, including a pupil's progress, achievements and destination following the placement. This should also include the pupil's own assessment of their placement.

DfE Registration Requirements

Schools should be aware of any organisations operating outside of the registration processes for schools, and should inform Ofsted and the Local Authority if they consider a provider to be operating as an unregistered school.

Any provider of education should be registered as an independent school if it meets the criteria – that it provides full-time education to five or more pupils of compulsory school age, or one such pupil who is looked-after or has an Education, Health and Care (EHC) plan. All Alternative Provision Academies and Alternative Provision Free Schools must be registered as schools whether or not they are full-time or part-time. Independent school registration

Unregistered schools – Ofsted may receive information regarding possible unregistered schools. If there is a possibility of any education provider operating illegally, Ofsted will conduct inspections as reasonable notice. Unregistered school inspection handbook

If you suspect that a provider is potentially operating as an unregistered independent school, please contact PRT@lincolnshire.gov.uk to discuss further.

Definition of full-time provision

"Full-time education" is not defined in law but the DfE consider an institution to be providing full-time education if it is intended to provide, or does provide, all, or substantially all, of a child's education. Relevant factors in determining whether education is full-time including:

- the number of hours per week that is provided - including breaks and independent study time;
- the number of weeks in the academic term/year the education is provided;
- the time of day it is provided;
- whether the education provision in practice precludes the possibility that full-time education could be provided elsewhere.

Generally, the DfE consider any institution that is operating during the day, for more than 18 hours per week, to be providing full-time education. This is because the education being provided is taking up the substantial part of the week in which it can be reasonably expected a child can be educated, and therefore indicates that the education provided is the main source of education for that child.

Inspectors from Ofsted may inspect any premises if they have reasonable cause to believe that an unregistered independent school is being conducted there. At such inspections, inspectors will assess whether the school meets the definition of an independent school, which will include assessing whether or not the school is intending to provide, or is providing, all or substantially all of a child's education.

All pupils must receive full-time provision in total, whether in one setting or more, unless a pupil's medical condition makes full-time provision inappropriate. Education for children with health needs who cannot attend school

Compulsory school age

A child begins to be of compulsory school age if they attain five years of age on one of the prescribed days, or on the next prescribed day following his or her fifth birthday. The prescribed days are currently 31st August, 31st December and 31st March.

A child ceases to be of compulsory school age on the school leaving date for any calendar year if they attain the age of 16 on (or will do so by) that date, or will do so after that date but before the beginning of the next school year. The school leaving date is currently set as the last Friday in June. Raising the participation age does not affect the compulsory school age. However, its effect is that a young person who has ceased to be of compulsory school age but has not yet reached the age of 18 (and has not attained a level 3 qualification), is under a duty to participate in education or training.

What to consider before commissioning Alternative Provision?

Pupil and family: must be at the center of discussions and any decision making. Accessing Alternative Provision should be seen as a supportive step and not a 'threat' in relation to further sanctions. Have they been fully involved in discussions and planning to support the pupil and meet their behaviour needs prior to any decision being made regarding Alternative Provision? Within discussions and planning have they been fully involved in agreeing that an Alternative Provision placement would be a positive step to support behaviour?

Transport: what will be required and needs to be put in place? Who needs to be involved?

Aim: what is the aim of the Alternative Provision placement? What does the pupil want, and need, to get out of the provision? How will the aims be included within planning to maximise the opportunity of a successful placement? How will the objectives and plans be agreed, set out and regularly monitored with the Alternative Provision, including through frequent visits?

Length of time: how long will the provision be in place for? Will it be part-time or full-time? If the placement is part-time, what other planning needs to be in place for the remaining time they are going to be in school? Where an intervention is part-time or temporary, what plans need to be in place to minimise education disruption?

Curriculum: how will the Alternative Provision placement fit in with the pupil's mainstream curriculum? How will the placement complement and keep up with the pupil's current curriculum, timetable and qualification route? How will progress be frequently monitored, appropriately reviewed and communicated between the Alternative Provision and school? What staff liaison needs to take place and appropriate mechanisms of challenge?

Outcomes: what will success look like at the end of the placement? How will this look for attendance, attitude, attainment and behaviour? How can the pupil be fully involved in setting and monitoring progress so that they own their outcomes rather than feel 'done to'? How will everyone be aware of and agree the outcomes and engage in regular monitoring of progress? Where reintegration to the school is an objective, what planning needs to be in place to ensure an appropriate package of support is ready to support their return?

Suggested Commissioning Checklist

- Check the registration status of each provider and whether they should be registered if they are not. Never use provision which contravenes the registration regulations.
- Check provider's policies and procedures including[1]:
    - The written behaviour policy setting out amongst other matters the sanctions to be adopted in the event of pupil misbehaviour.
    - Detailed curriculum plans and schemes of work, and student assessment procedures.
    - Particulars of arrangements to safeguard and promote the welfare of pupils and how those arrangements have regard to DfE guidance: Keeping Children Safe in Education and Working Together.
    - Anti-bullying policy.

[1] Appendix 1 offers a Self-Declaration template you can use to keep track of relevant policies etc.

    - Health and safety policy.
    - Complaints procedure.
    - Quality of accommodation.
    - Qualifications and experience of staff.
    - Arrangements for administering First Aid.
    - Fire risk assessment and procedures.
    - Recruitment and vetting checks for staff and management.
- Give providers information in writing about social networking, the use of social media and e-safety, making the school's expectations clear.
- Give providers information in writing about the school's expectations for child protection and procedures they should follow if they have a concern about a pupil.
- Support providers to access appropriate safeguarding training and information.
- Give providers information in writing about how the school should be informed of attendance and agree the subsequent follow up of absence.
- Check providers have good arrangements for working with other relevant services such as social care, mental health services, youth offending teams and drug support services.
- Ensure that the provider is transparent with costs and that the service you are commissioning is value for money and appropriate to the needs of the pupil.
- Ask the provider to complete an Annual Performance Report[2] to document the performance of the service offered and evaluate the outcomes delivered.

Health and Safety

The Health and Safety at Work Act 1974 places a duty on employers, including alternative education providers to ensure, so far as is reasonably practicable, the health, safety and welfare at work of its employees, and others who are affected by their activities such as young people on educational placements.

Under the Management of Health and Safety at Work Regulations 1999, employers have a responsibility to ensure that young people at work (including those attending alternative education provision) are not exposed to risk due to lack of experience, being unaware of existing or potential risks and/or lack of maturity, physical capability etc.

Schools should follow the current guidance by the Health and Safety Executive (HSE). This information should be referred to in conjunction with this guidance. Key points:

- The alternative education provider (employer) has primary responsibility for health and safety of the pupil and should be managing any significant risks. Schools should take reasonable steps to satisfy themselves that providers are doing this.

- Those commissioning and organising alternative education provision must ensure it is appropriate for pupils concerned. Provision must be age appropriate and take into consideration any pupils who might be at greater risk, for example due to health conditions or special educational needs, so this can be taken into account when planning the placement. This should include details of any medical or behavioural circumstances as well.

[2] A template for use can be found at Appendix 2.

- Schools should discuss with the provider what the pupil will be doing during the placement, noting any relevant precautions. The alternative education provider (employer) can include specific factors for young people into their existing risk assessment as appropriate.
- Providers must inform parents/carers of any significant health and safety risks to their child on placement and how they are being controlled. Providers must also inform the school.

- When commissioning alternative education provision, relevant health and safety information should be obtained to assess the suitability of the provider. The government's Crown Commercial Service Standardised Pre-Qualification Questionnaire includes information on health and safety which should be considered as part of the process when commissioning alternative education provision. The Institution of Occupational Safety and Health (IOSH) have also produced a Public service procurement health and safety checklist which can be used to consider key health and safety issues. These lists are not exhaustive and schools should ensure that adequate health and safety information is obtained.

- It is the responsibility of schools to decide the extent of checks that are carried out when commissioning provision. This will be based on the type of environment and potential risks involved within the placement. Checks should be kept in proportion to the risks involved.

- In lower risk environments, information gained may be relatively straight forward and limited, whilst in environments with less familiar risks or for those in higher risk environments, such as construction, agriculture, manufacturing or motor vehicle repairs, as well as workshop/machinery environments etc.; the checks will need to be more robust.

- Schools should satisfy themselves that adequate health and safety arrangements are in place and the work the pupil will be doing is being effectively managed to ensure their health and safety. This will need to consider induction, training, supervision, site familiarisation and any protective equipment that might be needed etc. In addition, pupils should know how and who to raise health and safety concerns.

- Schools should also check that the provider understands about the specific factors relevant to young people at work, including certain industry specific prohibitions and limitations.

- For all environments, it is strongly recommended that a physical check of the provider and placement is carried out by a competent person. A competent person is somebody who has suitable training, skills, experience and knowledge. Physical checks should look at the general suitability of workplace conditions, housekeeping, toilets and washing facilities, fire precautions, guarding of machines, provision of any necessary protective equipment etc. This list is not exhaustive and there may be other important aspects to consider dependent upon the type of environment and risks involved.

- There should also be agreement on key points of contact between the provider and school during the placement to discuss any issues or concerns. This includes the reporting of any serious accidents or incidents to the school who should follow their own employer's accident reporting procedure.

- Schools should carry out appropriate monitoring throughout the placement to satisfy them that providers are continuing to manage the health and safety of pupils on placement. This could be undertaken as part of a general quality assurance visit to assess the overall effectiveness of the provision. Health and safety checks should be undertaken by a competent person and be kept in proportion to the environment and risks involved. Checks should be recorded.

- For further information and advice, schools should contact their health and safety advice provider. For more information on health and safety competent advice, refer to: Health and Safety Executive

Safeguarding

Safeguarding and promoting the welfare of children and young people is everyone's responsibility. Everyone who comes into contact with children and their families has a role to play. In order to fulfil this responsibility effectively, all commissioners and providers should make sure their approach is child-centred and strength based. This means that they should consider, at all times, what is in the best interests of the child/young person.

Safeguarding and promoting the welfare of children (all young people under the age of 18) is defined for the purposes of this guidance as:

- protecting children from maltreatment;
- preventing impairment of children's mental and physical health or development;
- ensuring that children grow up in circumstances consistent with the provision of safe and effective care; and
- taking action to enable all children to have the best outcomes.

All staff have a responsibility to provide a safe environment in which children can learn.

Further information in relation to keeping children safe can be found at Lincolnshire's Safeguarding Children Partnership (LSCP) including access to a range of advice and policies, training and resources. Lincolnshire Safeguarding Children Partnership

Commissioning schools must satisfy themselves that Alternative Provision providers are compliant with the statutory guidance Keeping Children Safe in Education. A key part of this process should be school staff ensuring that staff at the registered alternative provision have appropriate checks, for example Disclosure and Barring Service (DBS) Checks.

- Give providers good quality information in writing about the school's expectations for child protection and procedures they should follow if they have a concern about a pupil. Support them to access safeguarding CPD.
- Undertake good quality risk assessments jointly with the provider, covering both the activity itself and the pupil in the context of the activity. Check that health and safety measures are securely in place.

- Ensure that all other relevant information is shared with providers, including any information on special educational needs, literacy, behaviours that challenge, strategies that have worked in the past, aptitudes and interests.
- Ensure arrangements are in place for working with other relevant services such as social care, mental health services, youth offending teams and drug support services. Where a pupil has an EHC plan, ensure that you liaise with the Local Authority and inform the SEND Team that the pupil is accessing an Alternative Provision placement.

The role of the Local Authority Designated Officer (LADO) is set out in Working Together to Safeguard Children (2018) (Chapter 2 Paragraph 4) and is governed by the Local Authorities duties under section 11 of the Children Act 20004.

Statutory guidance places a responsibility on organisations to contact the LADO **within one working day** where it is alleged that a member of staff or volunteer who works with children has:

- behaved in a way that has harmed a child or, may have harmed a child;
- possibly committed a criminal offence against a child or related to a child;
- behaved towards a child or children in a way that indicates that they may pose a risk of harm to children;
- behaved or may have behaved in a way that indicates they may not be suitable to work with children.

Managing Allegations of Abuse Made Against Persons who Work with Children and Young People provides further information from the LSCP regarding key roles and responsibilities and the actions that should be taken.

Commissioner Responsibilities

Once a placement has been agreed, the school maintains responsibility for:

- Pupil welfare: safeguarding, child protection and ensuring parents and pupil are aware of the arrangements;
- Attendance monitoring and follow-up of absences using a secure on-line attendance and absence reporting system:
- Meeting the needs identified within a child's Education Health and Care (EHC) plan;
- Transport is provided when accessing Alternative Provision arranged by Lincolnshire. Where schools do not wish to commission Lincolnshire's arranged Alternative Provision and make their own arrangements the school is responsible for transport arrangements and costs.
- Where a pupil is eligible for free school meals, this will need communicating to the provider and suitable arrangements made;
- Sanctioning a fixed term or permanent exclusion; pupils are legally on the roll of a school. Therefore, if a pupil has breached a Provider's code of conduct or poses a health and safety risk to others, the Provider may use their internal procedures to suspend the Pupil from attendance at their provision. Providers should always discuss the use of such a sanction with the pupil's school and agree arrangements during the period of suspension before any action takes place. The provider should notify the school if the placement cannot continue detailing reasons.

- Pupil outcomes – school's commissioning alternative provision must ensure it meets the child's educational and personal needs;
- Maintaining primary contact with parents, unless it has been agreed with the provider that this is delegated;
- Ensuring the child remains a member of the school community, such as involvement with extra-curricular activities, social events, parents' evenings, letters to parents or child, and rewards.
- Careers guidance, schools to ensure pupils receive their full entitlement to careers information, advice and guidance;
- Post 16 destinations and planning, to prevent young people becoming not in education, employment or training (NEET).
- Frequently reviewing pupils' placements so that they have a better understanding of how well pupils are doing and whether or not the placement continues to meet pupils' evolving needs.

Recording and Monitoring Attendance

The Local Authority has a statutory responsibility to identify and track pupils missing, or at risk of missing education. This includes children who are not attending school provision full time and those accessing Alternative Provision. The Local Authority's role includes:

- Collecting data for all children not accessing full-time education in the usual way, including those who are accessing Alternative Provision.
- Sharing information across Local Authority boundaries in a timely and appropriate way.
- Ensuring that every child is on the role of a school, regardless of their circumstances, unless their parents have elected to home educate.
- Supporting Alternative Providers of education to understand and comply with legal requirements especially safeguarding and registration.

Attendance and Duty of Care

Each pupil attending Alternative Provision must remain on a school roll and the school retains the ultimate duty of care for pupils, unless the child is singly registered with the Alternative Provision provider. There is an expectation that schools and providers record and monitor attendance. The responsibilities for monitoring attendance on a daily basis are as follows:

The provider is responsible for pupils onto their course(s) and for recording, monitoring and reporting attendance and absences. This MUST be completed twice a day, am and pm. This is a legal requirement and all schools, except those where all the pupils are boarders, much keep an attendance register in accordance with regulation 6 of the Education (Pupil Registration) (England) Regulations 2006 as amended.

Schools and providers must adhere to the DfE national codes to record and monitor attendance and absence in a consistent way which complies with the regulations. They are also used for collecting statistics through the School Census System. The data helps schools, local authorities and the Government to gain a greater understanding of the level of, and the reasons for, absence.

Schools are legally responsible for using the correct codes and the importance of using the correct code is also a safeguarding issue. All sessions when a pupil is not expected to physically present in school should be marked appropriately using the DfE registration code which can be found in the Working Together to Improve School Attendance document.
Working Together to Improve School Attendance

The activity must take place during the session for which it is recorded and for pupils of compulsory school age the school must record the nature of the activity.

Attending another school at which the pupil is registered:
Relevant regulation: 6(1)(a)(iii) and 6(4)(b)

- **Code D: Dual registered at another school:**

The law allows for a pupil to be registered at more than one school. This code is used to indicate that the pupil was not expected to attend the school in question because they were scheduled to attend the other school at which they are registered. The main examples of dual registration are pupils who are attending a pupil referral unit, a hospital school or a special school on a temporary basis.

Each school should only record the pupil's attendance and absence for those sessions that the pupil is scheduled to attend their school. Schools should ensure that they have in place arrangements whereby all unexpected and unexplained absence are promptly followed up.

Attending an educational activity that takes place outside the school:
Relevant regulation: 6(1)(iii), 6(1)(c) and 6(4)(a)

- **Code B: Off-site educational activity:**

Attending an off-site educational activity that has been approved by the school and supervised by someone authorised by the school.

The educational activity must take place during the session for which it is recorded. Ultimately schools are responsible for the safeguarding and welfare of pupils educated off-site. Therefore, by using code B, schools are certifying that the education is supervised, and measures have been taken to safeguard the pupil. Schools should ensure that they have in place arrangements whereby the provider of the educational activity notifies the school of any absences by the pupil. The school should record the pupil's absence using the relevant absence code.
his code must not be used for any unsupervised educational activity i.e., when a pupil is at home doing some schoolwork.

Quality Assurance

The responsibility for quality assurance and evaluation sits with the commissioning school.

As a guide the following key areas should be considered, but not limited to:

- Academic progress & attainment.
- Attendance and behaviour monitoring Curriculum offer including accrediatation for English and maths alongside a broad and balanced learning offer .
- Safeguarding and health and safety (including quality of accommodation).
- Personal development and well-being (PHSE, pastoral support).

- The role of governors.
- Pupils' and parent/carer views.
- Employability and skills for life – progression to post-16 destinations
- Partnership working with other community based services (e.g CAMHS, police, YOS, Health and social care services)
- Reports (annual reports, Ofsted inspections etc.)

Lincolnshire County Council recommends a minimum of three visits per year (autumn, spring, and summer terms) alongside regular reports. The scope and detail of regular reports (for example monthly) from providers should be agreed locally at the point of commissioning.

Provider Responsibilities

Providers must ensure they are compliant with the most recent DfE guidance around legislation and the definition of an independent school. Any provider of education should be registered as an independent school if it meets the criteria – that it provides full-time education to five or more pupils of compulsory school age, or one such pupil who is looked-after or has an EHC plan.

- All Alternative Provision Academies and Alternative Provision Free Schools must be registered as schools whether or not they are full-time or part-time. Please refer to Independent School Registration.
- Maintain contact with the commissioning school and the pupil's parent/carer, with regular updates on the pupil's progress:
    - Carry out an initial assessment of educational needs for the pupil within one week of referral to confirm what level of course and support is appropriate;
    - Notify the school of attendance and absence; good practice would determine this is twice daily;
    - Provide relevant policies and procedures that relate to the child's welfare, education and safety for example; Safeguarding policy including the use of social media and E-safety, Health and Safety Policy and Behaviour Policy;
    - Attend relevant multi-agency meetings around the pupil when required, for example: Personal Education Plan (PEP) for children looked after, CAF meetings, SEND review meetings and Social Care meetings;
    - Have clear monitoring criteria to judge the quality of the teaching and learning, and report this to the commissioning school at agreed intervals;
    - Provide a named contact for all matters pertaining to the pupils;
- Be aware of relevant policies, standards and procedures.
- Maintain Individual Learning Plans, these set out the targets that the pupil will achieve on programme (e.g., L1 Functional Skills English, Pass grade) as well as the wider targets (e.g., 95% attendance, behaviour). All targets must be agreed by the pupil, the Alternative Provision provider and the school.

10 Key Things to know about Alternative Provision

1 The pupil and family must be central and fully involved in all discussions and any decision making. Including planning to support the meeting of behavioural needs prior to any decision regarding access to Alternative Provision.

2 Other interventions should have been established before placing a learner into alternative provision. Agreement from all relevant parties is needed to ensure the placement is necessary, appropriate and in the best interests of the learner.

3 Schools can access Alternative Provision via Lincolnshire's provided routes, or they can make their own arrangements with Alternative Provision providers. In both situations the school, as the commissioner, is responsible for the provision and all the checks and monitoring that goes with this.

4 When making a decision to place a pupil into an Alternative Provision setting, commissioners must have regard to the Alternative Provision Statutory Guidance (page 3).

5 A provider of Alternative Provision should be registered as an independent school if it caters full-time for five or more pupils of compulsory school age; or one such pupil who is looked after or has an EHC plan.

6 All learners are entitled to a full-time education (subject to DfE Registration Requirements). Pupils placed in Alternative Provision must remain on their school roll unless permanently excluded. Learners should study English and mathematics as part of their core offer.

7 If a placement at Alternative Provision involves a pupil with an EHC plan, the school must ensure that the SEND Caseworker is notified of the plans prior to making any arrangements.

8 Pupils in Alternative Provision require regular reviews to assess the ongoing suitability of the placement, to plan for transition back into school or to a post 16 provider. Pupils are entitled to receive advice and guidance about their progression route.

9 Pupils placed in Alternative Provision should be given clear objectives linked to outcomes. Schools are responsible for ensuring objectives are met and outcomes are evaluated regularly throughout the placement. At the end of the placement, outcomes should be reviewed to determine the success of the intervention.

10 A school is likely to be judged inadequate for leadership and management by Ofsted if Alternative Provision is being used ineffectively, inappropriately or the necessary checks, monitoring and responsibility are not in place.

Supplier self-declaration contract assurance

Contract No:	Contract Name:	Supplier:
Customer's Contract Manager:	Return email address:	To be returned by (within 14 days of receipt):

This self-declaration Contract Assurance template shall be completed by the Supplier as a desk-top exercise on an annual basis to provide assurance that the organisation remains compliant with the requirements of the named Contract and that the documents/information identified as applicable to the Contract are up to date and will continue to be updated as and when required.

The Customer will still continue to seek all necessary documentation as required through any procurement process and/or service implementation.

Suppliers must complete all sections of this self-declaration Contract Assurance form and indicate where any information is not applicable by selecting the N/A option in the relevant column, unless this has already been pre-populated by the Customer.

Other than where indicated, Suppliers will not be required to provide copies of updated documentation, however, these should be made available to the Customer upon request. Where copies of updated documentation are required/requested and any concerns are identified by the Customer, these will be discussed with the Supplier via the Customer's Contract Manager and other Customer representatives (where appropriate).

The Supplier should return the completed/signed self-declaration to the named Contract Manager within 14 days from receipt of this form; details given at the top of this form.

Key

	Mandatory requirement for the majority of contracts/agreements, unless indicated as N/A by the Customer
	Requirement will be dependent on the nature of the contract/agreement

Safeguarding audit/self-assessment	N/A	Date of completion	Next review date
Safeguarding audit/self-assessment	☐	Click here to enter the date that it was completed.	Click here to enter the date when it is next due for review.
Please indicate the type of audit/self-assessment undertaken, e.g. LSCP Section 11 audit, NSPCC or other safeguarding self-assessment, safeguarding within school SEF	☐		
Outcome of your latest safeguarding audit/self-assessment	☐		
Where a safeguarding audit/self-assessment has been completed, please tick to confirm that you have forwarded the latest copy to the Contract Manager.			☐
Designated Safeguarding Lead		**Name**	**Contact Details**
Front line services only - Designated Safeguarding Lead		Yes ☐	No ☐ Please state why: / N/A ☐ Please state Why:

(DSL) is aware of their duties in relation to Prevent and appropriately trained and learning and guidance shared with staff.*			

* As a minimum, DSL completed free Home Office e-learning on Prevent - Prevent duty training, and learning and Prevent duty guidance shared with appropriate staff Prevent duty guidance. In addition, there may be local training on Prevent available through the Lincolnshire Safeguarding Children's Partnership and this should be accessed as appropriate. DSL should also familiarise themselves with the Channel guidance around reporting concerns, which is part of the Prevent Strategy

Suppliers are only required to provide annual copies of each of the following with this completed self-declaration where changes have been made to the last version provided:

Plans and Registers	N/A	Date of most recent review	Did the recent review result in any changes?	Next review date
Business Continuity Plan (BCP) in place, reviewed and tested at least once every 12 months. Staff are aware of their roles and responsibilities during an incident or disruption.	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Risk register in place, including risk assessments undertaken where applicable.	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Asset Register (where applicable)	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Policies				
Volunteering Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date of the last review.
Apprenticeship Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date of the last review.
Safeguarding Policy to include child protection, child sexual exploitation and vulnerable adults as applicable.	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Modern Slavery and Risk of Exploitation Policy including sub-contractors (if not already included in Safeguarding Policy)	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Recruitment & Retention, including Safer Recruitment, Policy (if not already included in Safeguarding Policy)	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Equality & Diversity Policy (for both staff and service delivery), Equal Opportunities Policy & Equality Practice Policy Framework including Access Plan, in line with the Disability	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.

Discrimination Act 2010 (where applicable)				
Health & Safety Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Robust Clinical Care and Risk Management Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Complaints Policy and Procedure	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Whistleblowing Policy and Procedure	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Data Protection Policy (to include GDPR, personal data including special categories and right to access/rectify, privacy notices, transfers of personal data outside the UK, staff training and regular system testing)	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Anti-bribery Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Domestic Abuse Policy or Adopted LCC's Domestic Abuse Policy	☐ ☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Anti-bullying Policy	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.
Contract Manager to add any additional relevant policies into this box and the boxes below, e.g. Password Policy, Reporting and Management of Risk Policy, Learner Consent Policy, Security Policy, etc. Additional rows can be added by copying and pasting the row above. Delete this row if not needed or any blank unused rows before sending to the Supplier.	☐	Click here to enter the date of the last review.	☐ Yes* ☐ No	Click here to enter the date when it is next due for review.

*Where indicated as Yes, please provide a brief outline below of the changes made to each of the relevant documents. Please ensure you provide an updated copy of each of the relevant documents to the named Contract Manager when returning the completed self-declaration. Where there are material changes made to safeguarding policies the named Contract Manager will revisit the Safeguarding Policies Checklist and will discuss any concerns with the Supplier.

Self-declaration only – suppliers are not required to provide updated copies of the following on an annual basis:		
Insurances	**N/A**	**Date of cover**
Employer's Liability Insurance; up to the limit identified in the Contract (£)	☐	Click here to enter the date of your most recent renewal .
Public Liability Insurance; up to the limit identified in the Contract (£)	☐	Click here to enter the date of your most recent renewal .
Professional Indemnity Insurance; up to the limit identified in the Contract (£)	☐	Click here to enter the date of your most recent renewal .
Contract Managers to add any additional relevant insurances into this box and the boxes below, e.g. Professional Indemnity Insurance of other professionals, Residential Care Home Household Buildings and Content Insurance, Vehicle Insurance, Sexual Abuse and Molestation Public Liability Insurance, Medical Malpractice Public Liability Insurance, Directors and Officers Liability Insurance, etc. Additional rows can be added by copying and pasting the row above. Delete this row if not needed or any blank unused rows before sending to the Supplier.	☐	Click here to enter the date of your most recent renewal .
	☐	Click here to enter the date of your most recent renewal .
	☐	Click here to enter the date of your most recent renewal .

Additional Information only			
	Yes	**No**	**N/A**
Commitment to adhere to environmental sustainability	☐	☐ Please state why:	☐ Please state why:
Commitment to participation of children and young people and the 4 key principles of participation: 1. Children have equal opportunity to be involved 2. Children are valued and taken seriously 3. The involvement of children is a visible commitment which is fully resourced 4. The involvement of children is monitored, evaluated, reported and improved	☐	☐ Please state why:	☐ Please state why:
Any dealings with the Health & Safety Executive (HSE)	☐ Please provide information below:	☐	☐ Please state why:
Induction and regular supervision/appraisal in place for all staff	☐	☐ Please state why:	☐ Please state why:

Staff have registration/accreditation with an appropriate professional body where relevant	☐	☐ Please state why:	☐ Please state why:
Modern Slavery published statement – including sub-contractors (only applicable to organisations with a turnover of £36million+ per annum) – Contract Manager to delete this row if not required.	☐	☐ Please state why:	☐ Please state why:
Registered as a Food Business if preparing, cooking, storing, handling, distributing or selling food Food business registration - GOV.UK (www.gov.uk)	☐	☐ Please state why:	☐ Please state why:
Contract Manager to add any additional information required if relevant. Delete this row if not required.	☐	☐ Please state why:	☐ Please state why:

	Name	**Contact Details**
Nominated Regulation 7 Health and Safety Advisor		
Designated Data Protection Officer (requirement in relation to GDPR)		

Supplier Declaration

Suppliers must ensure the person signing this form has appropriate authority to do so.

I hereby declare that all of the information submitted on this form is correct, true and valid. By completing this form I confirm that I am providing assurance to the Customer that the organisation is compliant with the requirements of the named Contract. I also hereby confirm that any further supporting documentation/ information not already supplied as indicated above will be provided to the Customer upon request.

Name	
Role	
Contact details	
Organisation	
Signature	
Date	

Upon completion of all sections, please return this form to the named Contract Manager, within the timeframe given, at the top of this form.

Appendix 2: : a supplier performance report template for use

Supplier Annual Contract Performance Report Template

This template is designed to support Suppliers in the completion of a Contract Performance Annual Report. This can form part of Supplier's performance reporting at the end of a full academic year and shall be aligned to the aims and objectives of the contract. Suppliers shall complete all sections in grey.

Supplier Name:			Service Name:		
Contract Number:			Contract Value:	Annual Value:	£
				Total Value:	£
Contract Period:	Start Date:	Click here to enter a date.	Annual Reporting Period:	From:	Click here to enter a date.
	End Date:	Click here to enter a date.		To:	Click here to enter a date.
Supplier Annual Performance Rating for Reporting Period:	Current annual rating:		Choose an item.		
	Previous annual rating:		Choose an item.		

Brief Overview of Service:

Executive Summary of Impact:
Please include a summary of information such as outcome and impact data, examples of service delivery that specifically demonstrates the difference the service makes to the lives of children, young people and their families who use the service and how it has supported the objectives of the contract to improve outcomes or reduce the need for other services:

Annual Review of Performance:

Please include as a minimum:

- *Summary of the year's performance data including key trends and comparisons to previous year's performance where applicable.*
- *How the aims and objectives of the contract have been met.*
- *Evidence of impact on service user outcomes including example case studies demonstrating impact.*
- *Examples of work with other local services that demonstrate improved outcomes for service users.*
- *Benchmarking against other services locally, regionally and nationally.*
- *Evidence of added value to the contract, e.g. reduced referrals to more specialist services.*
- *Findings from quality assurance audits and/or regulatory body inspections that have resulted in positive change to services where needed.*
- *Where appropriate and applicable include how the contract is contributing to Social Value including any volunteering/ apprenticeship opportunities, environmental sustainability and supporting the local economy.*

Service User Feedback and Impact on Service Improvement:

Please include as a minimum:

- *Number of formal compliments received during the year broken down into themes and source; demonstrating a year-on-year increase in formal compliments.*
- *Examples of feedback from service users and other stakeholders demonstrating impact.*
- *Examples of how children and young people and their families have been involved in quality assuring the service.*
- *Evidence of the voice of the child being listened to and acted upon, demonstrating the "You Said, We Did" approach and improvements made as a result of feedback.*
- *Annual stakeholder survey report, which demonstrates impact on the aims and objectives of the Service and service user outcomes.*

Forward View:
Please include as a minimum: • *Any planned stakeholder engagement over and above that already embedded within service delivery. Future developments for the Service to improve contract delivery. Where an Annual Development Plan or an improvement plan has been developed for the forthcoming year this can be embedded within this section instead of identifying developments separately.*

Name of person completing report:	
Role:	
Contact details:	
Organisation:	
Signature:	
Date:	

Upon completion, the Contract Performance Annual Report should be submitted to the Customer's Contract Manager. Upon receipt of this report ***the Contract Manager will also review any other relevant data and will comment below on the wider impact of the contract on improving outcomes for children and young people.***

Impact on Wider Outcomes for Children and Young People:
Contract Manager to include relevant data which demonstrates impact on the wider outcomes identified for the contract: • *Examples may include: educational achievement of vulnerable groups of children and young people, demonstrating closing the inequality gap, school attendance figures demonstrating improved attendance, exclusion figures demonstrating reduced exclusions.*