IWYS
ALTERNATIVE PROVISION
ASSESSMENT, RECORDING AND REPORTING POLICY

Document control	Details
Policy owner	Provision Lead
Approval	Proprietor / Senior Leadership Team (as applicable)
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1. Purpose and policy statement

IWYS Alternative Provision (IWYS) is committed to knowing each learner well, recognising their starting points, identifying barriers to learning and using reliable evidence to improve educational outcomes, engagement and personal development.

This policy sets out how IWYS assesses, records, monitors and reports each learner's progress and wider experience. It aims to ensure that information is accurate, timely, proportionate, understandable and used to inform action.

Assessment is not limited to test scores or qualifications. It includes academic learning, practical and vocational skills, attendance, participation, behaviour for learning, independence, confidence, wellbeing and preparation for the next stage of education, training or employment.

This policy should be read alongside the learner's placement agreement, individual education plan or equivalent, EHCP where applicable, safeguarding arrangements and the commissioning school or local authority's reporting requirements.

2. Scope and principles

- Applies to all learners receiving education or support through IWYS, including short-term, part-time, full-time, on-site and off-site provision.
- Applies to all staff and tutors who assess, teach, support, supervise, record or report on learners.
- Assessment must be purposeful: staff should know what is being assessed, why it matters and how the evidence will inform next steps.
- Assessment must be fair and accessible, taking account of age, prior attainment, SEND, communication needs, disability, language, trauma, attendance and individual circumstances.
- Records must distinguish observed fact, learner voice, professional judgement and information received from others.
- Information must be shared lawfully and promptly with those who need it to educate or safeguard the learner.
- Progress should be considered from the learner's individual starting point as well as against relevant curriculum, qualification and age-related expectations.

2.1 Definitions

Term	Meaning
Assessment	The process of gathering and interpreting evidence about knowledge, skills, understanding, progress and needs.
Baseline	A recorded picture of a learner's starting point at or near the beginning of a placement or course.
Formative assessment	Ongoing assessment used to adapt teaching and give feedback during learning.
Summative assessment	Assessment at a defined point to evaluate learning against stated criteria or outcomes.
Recording	The secure written or electronic capture of assessment evidence, decisions, actions and outcomes.
Reporting	Communicating relevant assessment information and progress to the learner, parent/carer, commissioner and other authorised partners.

3. Roles and responsibilities

Role	Responsibilities
Proprietor / Senior Leadership Team	Approve the policy; ensure suitable systems, resources and oversight; review quality and compliance; act on significant concerns.
Headteacher / Provision Lead	Implement the policy; ensure baseline and review processes operate; oversee reports; check that commissioners receive agreed information; address gaps or delays.
Teachers / Tutors	Plan assessment; establish starting points; give feedback; maintain accurate records; review targets; report concerns promptly; contribute to reports and meetings.
SENDCo / designated SEND lead (where appointed)	Coordinate assessment of additional needs; ensure strategies and reasonable adjustments are recorded; contribute to reviews and liaison with relevant professionals.
Designated Safeguarding Lead (DSL)	Lead safeguarding recording and referral arrangements; ensure safeguarding information is stored and shared through appropriate restricted systems.
Administration / Data staff	Maintain authorised records and reporting schedules; check completeness and accuracy; manage secure transmission and retention in line with instructions.
Learners	Be supported to understand targets, reflect on learning, contribute views and identify support that helps them succeed.
Parents / carers and commissioners	Share relevant information, participate in reviews and work with IWYS to support agreed outcomes.

4. Starting-point assessment and induction

IWYS will seek sufficient information before or as soon as practicable after a learner starts. The depth and timing of assessment will be proportionate to the length and nature of the placement.

4.1 Information to obtain

- Referral information, reason for placement, intended outcomes, placement timetable and named contacts.
- Previous attainment, current working levels or grades, qualifications, examination entries and relevant assessment data.
- Relevant school reports, attendance patterns, exclusions or reintegration information where shared lawfully and relevant.
- EHCP, SEN support information, access arrangements, learning plans, risk assessments and advice from relevant professionals, where applicable.
- Known communication, sensory, medical, accessibility, language or emotional support needs relevant to learning and safety.
- Learner and parent/carer views, strengths, interests, aspirations and what has helped or hindered learning.

4.2 Baseline process

1. Review the referral and available records, identifying gaps that need clarification.
2. Meet or speak with the learner and, where appropriate, parent/carer and commissioner to understand strengths, needs and aspirations.
3. Use suitable diagnostic activities, discussion, observation, practical tasks, work samples and/or standardised assessments where appropriate.
4. Record the learner's starting point in relevant subjects or vocational areas and in wider outcomes such as communication, independence and engagement.
5. Agree initial targets and support strategies with the learner and relevant partners.
6. Share any significant unmet need, risk or discrepancy with the Provision Lead and commissioner promptly.

A baseline should not be treated as a fixed label. It is a working picture and should be updated as staff learn more about the learner.

5. Assessment approaches and evidence

5.1 Formative assessment

- Questioning, discussion, retrieval practice and checks for understanding.
- Observation of practical performance, participation, collaboration and application of skills.
- Review of classwork, portfolios, projects, written tasks and digital work.
- Verbal and written feedback, learner self-assessment and peer assessment where appropriate.
- Short quizzes, knowledge checks, demonstrations and practical tasks.

5.2 Summative assessment

Summative assessment may include end-of-unit tasks, controlled or supervised assessments, mock examinations, qualification assessments, portfolio reviews and accredited outcomes. Staff must follow the relevant awarding organisation's specification, assessment conditions, malpractice requirements and access arrangements.

5.3 Evidence quality

- Evidence should be relevant to the intended learning outcome and sufficiently recent.
- Where possible, judgements should be supported by more than one source of evidence.
- Staff should record the context of evidence, including support or prompts provided and any adjustment used.
- Assessment methods must not disadvantage a learner because of disability, SEND, communication needs or other protected characteristics.
- Staff must not inflate or guarantee predicted grades, qualification outcomes or progress claims.

6. Recording progress and achievement

IWYS will maintain an individual record for each learner using approved paper or electronic systems. Entries must be factual, clear, dated and attributable to the member of staff making them.

6.1 Minimum expectations

- Record baseline information and agreed starting points.
- Record curriculum coverage, learning outcomes and assessment evidence at appropriate intervals.
- Record progress against individual targets, including strengths, gaps and next steps.
- Record qualifications, units, credits, examination entries, results and certificates where relevant.
- Record attendance and punctuality accurately in accordance with the attendance procedure.
- Record significant changes in engagement, behaviour, wellbeing or presentation that affect learning or may indicate a need for support.
- Record interventions, strategies used, review dates and whether they are effective.
- Record review meetings, learner and parent/carer views, commissioner feedback and agreed actions.

6.2 Recording standards

- Use professional, respectful and objective language. Avoid labels, assumptions, jargon and emotive or judgemental comments.
- Separate direct observation from reported information. Identify the source where appropriate.
- Include dates, times where relevant, author name/initials, action taken and follow-up responsibility.
- Correct errors transparently; do not delete or overwrite records in a way that obscures the original entry or audit trail.
- Do not keep duplicate or informal personal records outside approved systems.
- Do not record unnecessary sensitive personal information. Keep safeguarding details in the designated restricted safeguarding system.

6.3 Progress judgements

Where IWYS uses a progress descriptor or rating, the criteria must be explained to staff and applied consistently. A judgement should be supported by evidence and interpreted in context; it must not be used as a substitute for narrative feedback.

Suggested descriptor	Meaning
Above expected	Evidence indicates progress is stronger or faster than the agreed individual expectation.
On track	The learner is making progress broadly in line with agreed targets and timescales.
Some progress / needs support	Progress is evident but uneven, and additional teaching, adaptation or intervention is needed.
Limited progress / concern	Progress is below the expected trajectory or there are barriers requiring prompt review and action.
Not yet assessed	There is not yet enough reliable evidence to make a judgement; explain why and set a date to reassess.

7. Target setting and review cycle

Targets should be specific, meaningful, achievable and time bound. They should be informed by baseline evidence, the learner's aspirations, placement objectives, curriculum requirements and any relevant EHCP outcomes or support plans.

7.1 Review cycle

Stage	Minimum expectation
On entry	Baseline and initial targets completed as soon as practicable, normally within the first 10 teaching days where placement length permits. Information must be provided by the school or local authority.
Ongoing	Formative assessment and feedback during teaching; records updated regularly and after significant events.
Half-termly / at agreed intervals	Tutor review of progress, attendance, engagement and intervention impact. Frequency may be increased for short or high-risk placements.

Termly or commissioner-agreed	Written progress report and/or review meeting, unless the placement agreement specifies a different cycle.
End of placement	Summarise outcomes, achievement, attendance, strengths, remaining needs and recommended next steps; transfer information securely to authorised recipients.

For very short placements, staff should use a proportionate condensed cycle and provide an end-of-placement summary. Review frequency must also reflect commissioning arrangements and any individual statutory review timetable.

7.2 When progress is a concern

7. Check the accuracy and sufficiency of assessment evidence and whether attendance has affected learning time.
8. Discuss the concern with the learner and identify barriers, including unmet SEND, health, safeguarding, access or engagement needs.
9. Agree a time-limited support or intervention plan with clear actions, responsible staff and review date.
10. Inform the Provision Lead and commissioner/placing school in line with the placement agreement, particularly where outcomes or placement suitability are at risk.
11. Review impact. If progress remains limited, arrange a formal review with relevant partners and consider whether the provision or placement plan needs to change.

8. Reporting to pupils, parents and commissioners

Reports should be timely, balanced and accessible. They should explain what the learner can do, what progress has been made, what remains to be learned and what will happen next.

8.1 Report content

- Placement details, reporting period and attendance information, with explanation of any significant absence pattern.
- Progress from baseline in relevant curriculum subjects, vocational learning and qualifications.
- Evidence of achievement, completed work, skills and accreditation where applicable.
- Engagement, participation, behaviour for learning and personal development where relevant to placement outcomes.
- Support and interventions provided, their impact and any continuing barriers.
- Learner voice and, where appropriate, parent/carer views.
- Clear next steps, targets, actions, named responsibility and review date.
- Any significant concerns or changes, shared through the appropriate secure route.

8.2 Communication and meetings

- At induction, explain how progress will be assessed and how and when reports will be shared.
- Share reports with the learner in a way they can understand and act upon.
- Share information with parents/carers and commissioners in accordance with consent, lawful basis, parental responsibility, the placement agreement and safeguarding duties.
- Provide reports through approved secure channels and retain a copy in the learner record.
- Where a learner is looked after, previously looked after, has an EHCP or is subject to a relevant plan, liaise with the appropriate designated professionals and follow the required review arrangements.

IWYS will not delay necessary safeguarding information-sharing because a routine progress report is not due. Urgent concerns must be escalated immediately through the relevant procedure.

9. Attendance, engagement, behaviour and wellbeing records

Attendance and punctuality are important indicators of access to education and may affect progress. IWYS will maintain accurate session-level attendance records and follow its Attendance Policy and the placement agreement.

- Record attendance at the start of each session and follow the agreed process for late arrival, early departure and absence.
- Notify the placing school, local authority or parent/carer of absence within the timescale agreed in the placement protocol; do not assume another party has been informed.
- Escalate unexplained absence or a failure to make contact in accordance with safeguarding and missing-child procedures.
- Record significant patterns of disengagement or changes in presentation factually and share concerns with the appropriate lead.

- Behaviour records should describe what happened, the context, actions taken, impact, support offered and outcome. They should not be used as a substitute for safeguarding records.

The commissioning school or local authority retains its own statutory attendance responsibilities where applicable. IWYS will cooperate with the agreed reporting and follow-up arrangements.

10. Safeguarding and significant incident recording

Safeguarding records are distinct from routine assessment and progress records. Any concern about abuse, neglect, exploitation, self-harm, risk of harm, child-on-child abuse, online harm or the safety of a learner must be reported to the DSL or deputy without delay.

- Record the learner's words as accurately as possible, using their own words where practicable. Do not investigate or ask leading questions.
- Record the date, time, context, factual observations, who was present, actions taken, decisions, rationale, referrals and outcomes known.
- Pass the record to the DSL promptly using the approved safeguarding system. Do not leave it in a general teaching file or rely on verbal handover alone.
- Where there is immediate danger or a crime in progress, contact emergency services and follow safeguarding procedures.
- Staff must not promise confidentiality. Explain that information may need to be shared to help keep the learner safe.
- Concerns or allegations about adults must be handled under the Allegations Against Staff and Low-Level Concerns Policy, not investigated informally by the reporting member of staff.

KCSIE 2026 requires staff to act immediately on concerns and supports recording the summary, actions, decisions, rationale and outcomes. Data protection is not a barrier to necessary safeguarding information-sharing.

10.1 Serious incidents affecting placement

A serious incident, significant deterioration in wellbeing, major behavioural incident, injury, missing episode or event affecting the safety or suitability of a placement must be escalated immediately to the Provision Lead and DSL as appropriate, and to the commissioner/placing school in accordance with the agreed protocol. A written record must be completed as soon as practicable.

11. SEND, inclusion and reasonable adjustments

- Assessment must identify and build on strengths as well as needs.
- Staff should use information from EHCPs, SEN support plans, professional advice and the learner's own views where available and relevant.
- Reasonable adjustments and access arrangements must be considered and recorded where needed, including for assessment and examinations.
- Assessment methods, instructions, resources, pace and environment should be adapted to enable the learner to demonstrate what they know and can do.
- Where progress suggests an additional or changing need, staff should raise this with the SEND lead/Provision Lead and discuss appropriate next steps with the commissioner and parent/carer.
- IWYS will contribute relevant evidence to annual reviews and other multi-agency reviews when requested and within agreed timescales.

12. Data protection, confidentiality and record security

IWYS will process learner information in accordance with the UK GDPR, Data Protection Act 2018, applicable education requirements, its privacy information and Information Security Policy.

- Collect and use information for clear, lawful purposes and only what is necessary.
- Ensure records are accurate, relevant, kept up to date and retained only for as long as required under the retention schedule and legal obligations.
- Restrict access to staff and partners who need the information for their role.
- Use approved systems, strong authentication and secure storage. Do not use personal email, personal cloud storage or unapproved messaging to share learner records.

- Check recipient details and authority before sending information. Use secure transfer methods for sensitive or confidential reports.
- Report suspected loss, unauthorised access, misdirection or disclosure immediately under the data breach procedure.
- Respond to subject access and other data rights requests through the designated data protection lead; do not disclose third-party or safeguarding information without appropriate review.

Information may be shared without consent where there is an appropriate lawful basis or a safeguarding/legal duty. Staff should seek advice from the DSL or data protection lead if uncertain, but must not delay urgent protective action.

13. Quality assurance and staff development

- The Provision Lead will periodically sample learner files to check baseline completion, target quality, assessment evidence, report accuracy and timely follow-up.
- Leaders will review patterns in attainment, progress, attendance, engagement, intervention impact and outcomes across groups and subjects.
- Moderation or standardisation activities will be used where appropriate to support consistent assessment judgements.
- Staff will receive induction and refresher guidance on assessment recording, safeguarding records, confidentiality and approved systems.
- Findings from quality assurance will inform staff support, training, curriculum planning and improvement priorities.
- Records should be available for appropriate inspection, commissioner monitoring and audit, subject to confidentiality and data protection requirements.

14. Complaints, concerns and correcting records

A learner or parent/carer who is concerned about an assessment judgement, report or record should normally raise the matter with the tutor or Provision Lead in the first instance. IWYS will review the evidence, explain the judgement and correct factual errors where appropriate.

If the concern is not resolved, it may be raised under the IWYS Complaints Procedure. Safeguarding concerns must be escalated immediately and must not wait for the complaints process.

Any amendment to a record must preserve an appropriate audit trail. A professional judgement may be explained or reviewed but should not be changed solely because it is disputed, without considering the evidence.

15. Monitoring, review and approval

The Provision Lead is responsible for monitoring implementation. The policy will be reviewed at least annually and sooner if there are changes to legislation, statutory guidance, commissioning requirements, data protection arrangements or IWYS practice.

Approval	Name / role	Signature	Date
Proprietor / authorised approver	Charmaine Baines	*CBaines*	November 2026
Headteacher / Provision Lead			

Appendix A: Minimum pupil record checklist

Use this checklist at induction and during file audits. Not every item will apply to every placement; record N/A where appropriate.

Record / information	Present	Date checked / notes
Referral and placement agreement / objectives	☐ Yes ☐ No ☐ N/A	
Learner and parent/carer contact details and key contacts	☐ Yes ☐ No ☐ N/A	
Baseline assessment and starting points	☐ Yes ☐ No ☐ N/A	
Prior attainment / relevant school reports	☐ Yes ☐ No ☐ N/A	
EHCP / SEN information / reasonable adjustments	☐ Yes ☐ No ☐ N/A	
Initial targets and support strategies	☐ Yes ☐ No ☐ N/A	
Attendance and punctuality records	☐ Yes ☐ No ☐ N/A	
Ongoing assessment evidence / work samples	☐ Yes ☐ No ☐ N/A	
Progress reviews and reports	☐ Yes ☐ No ☐ N/A	
Intervention records and impact reviews	☐ Yes ☐ No ☐ N/A	
Relevant incident / behaviour records (securely held)	☐ Yes ☐ No ☐ N/A	
Safeguarding records held in restricted system, if applicable	☐ Yes ☐ No ☐ N/A	
End-of-placement summary / transition information	☐ Yes ☐ No ☐ N/A	

Appendix B: Progress review record template

Learner / review details	Complete below
Learner name / ID	
Date of birth (if required)	
Commissioner / placing school	
Tutor / key worker	
Review period / date	
People contributing	
Current placement objectives	

Area	Evidence of progress / achievement	Next step / action
English / communication		
Mathematics / numeracy		
Other curriculum / vocational learning		
Qualifications / accreditation		
Attendance / punctuality		
Engagement / behaviour for learning		
Personal development / independence		
SEND support / adjustments		
Learner voice		
Parent / carer / commissioner comments		

Agreed actions	Responsible person	By when

Overall progress judgement (with evidence): _____

Next review date: _____ Report shared with / date: _____

Appendix C: Assessment and intervention record template

Field	Record
Learner / date / staff member	
Subject / skill / outcome being assessed	
Assessment method and context	
Starting point / prior evidence	
Evidence observed or produced	
Support, prompts or adjustments provided	
Assessment judgement and rationale	
Feedback given to learner	
Identified barrier / additional need (if any)	
Intervention / strategy agreed	
Responsible person and review date	
Impact at review / next action	

Appendix D: Reporting timetable and escalation guide

Trigger / event	Action	Who to inform
Learner starts placement	Complete proportionate baseline, agree targets and confirm reporting arrangements.	Provision Lead; commissioner; learner and parent/carer as appropriate.
Routine review point	Update assessment records, review targets and issue report within agreed timescale.	Learner; parent/carer as appropriate; commissioner / placing school.
Progress below expected / targets not met	Check evidence and barriers; agree intervention and review date; escalate if placement outcomes at risk.	Tutor to Provision Lead; commissioner / placing school; SEND lead as relevant.
Unexplained absence / failure to attend	Follow attendance and safeguarding procedures and agreed notification timescales; make required contact and record actions.	Attendance lead / commissioner / parent-carer as agreed; DSL if safeguarding concern.
Safeguarding concern or immediate risk	Report immediately to DSL/deputy; record securely; contact emergency services where necessary.	DSL; statutory agencies as directed; commissioner where appropriate and lawful.
Serious incident affecting placement	Escalate immediately, complete incident record and agree safety / continuation plan.	Provision Lead; DSL where relevant; commissioner / placing school; parent/carer as appropriate.
End of placement / transition	Complete outcome summary and securely transfer relevant information to authorised recipient.	Learner; parent/carer as appropriate; commissioner / next provider.

Always follow any shorter notification deadline in the placement agreement or local safeguarding / attendance protocol. This policy does not replace emergency or safeguarding procedures.

Appendix E: Relevant legislation and guidance

This policy should be read alongside the current versions of the following, as applicable to IWYS's status, commissioned provision and contractual arrangements:

- Education Act 1996 and relevant regulations relating to education and information about children in alternative provision.
- Children Act 1989 and Children Act 2004.
- Children and Families Act 2014 and the SEND Code of Practice: 0 to 25 years.
- Equality Act 2010.
- UK General Data Protection Regulation and Data Protection Act 2018.
- Department for Education, Alternative Provision: statutory guidance (updated 5 February 2025).
- Department for Education, Keeping Children Safe in Education 2026 (in force from 1 September 2026).
- Department for Education, Working Together to Safeguard Children (current version).
- Department for Education, Working Together to Improve School Attendance (updated 9 July 2026).
- Department for Education, Alternative Provision Census: statutory requirement, data sharing and regulations (updated 20 July 2026).

- Relevant awarding organisation specifications, assessment and examination regulations.

Official online sources:

- Alternative Provision statutory guidance: https://www.gov.uk/government/publications/alternative-provision
- Keeping Children Safe in Education 2026: https://www.gov.uk/government/publications/keeping-children-safe-in-education--2
- SEND Code of Practice: 0 to 25 years: https://www.gov.uk/government/publications/send-code-of-practice-0-to-25
- Working Together to Improve School Attendance: https://www.gov.uk/government/publications/working-together-to-improve-school-attendance
- Alternative Provision Census guidance: https://www.gov.uk/guidance/alternative-provision-ap-census/statutory-requirement-data-sharing-and-regulations