

# Provider Details

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| Name of Provider:  |       |
| Audit Completed by and Role |       |
| Date Completed |       |

# This safeguarding audit is a self-assessment tool for Early Years Providers: Day Nurseries, Playgroups, Pre-schools, Childminders with Assistants, Co-childminders or Childcare on Domestic Premises and Out of School Clubs. It is intended to support the assessment of safeguarding practices to ensure adequate arrangements are in place to ensure the safeguarding and wellbeing of children. The Statutory Framework for the EYFS 2021 is mandatory for all early years providers in England.

# Refer to statutory guidance documents - Working Together to Safeguard Children 2018, Inspecting safeguarding in early years, education and skills settings 2021, What to do if you’re worried a child is being abused: Guidance for Practitioners, Prevent Duty Guidance for England and Wales 2015, Keeping Children Safe in Education 2022 and NYSCP Threshold Guidance. Grading Classification

All providers should achieve a 4 grading to show that safeguarding concerns have been addressed. When safeguarding concerns have been addressed, and/or action plans are in place, compliance should be recorded as a 4 grading. Where actions have been identified (i.e. grades 1 – 3) an action plan should be developed and implemented immediately to ensure compliance with statutory requirements. If not relevant to a setting’s registration type, it should be recorded as a 5 grading.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 |
| **Not in operation – potential safeguarding concerns** | **Identified safeguarding concerns/weakness to be addressed - no agreed action plan in place** | **Identified safeguarding concerns/weakness with an agreed action plan in place** | **Safeguarding concerns have been addressed**  | **Not in operation – no safeguarding concerns** |
| Not in operation. The provider should develop and implement an action plan. | Safeguarding concerns or identified weakness. The providershould develop and implement an action plan. | Safeguarding concerns or identified weaknesses. The provider has an agreed action plan in place to address these concerns. | Safeguarding concerns have been addressed and the provider is compliant with statutory requirements.Improvements and modernisation of arrangements may be taking place but these do not expose any safeguarding concerns.There are no safeguarding concerns. | Not in operation as not applicable. There are no safeguarding concerns. |

For each section, providers should briefly reference evidence to support their answer e.g. the name of a policy and date it was last reviewed.

# Section 1 - Safer Recruitment

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **1.1** | **Does the provider have recruitment records and a record demonstrating that all pre-employment suitability checks have been undertaken, (including DBS and barred list checks where appropriate)? This is known as a Single Central Record (SCR).** | *Ofsted will, on inspection, want to see the record of DBS checks and a selection of recruitment records. Records should include the number and date of issue of the DBS check.* *The minimum age at which a person can apply for a DBS check is 16 years, young people on work experience are not eligible for a DBS check. Assurances should be sought from the placing school/college/provider that the student is a safe and suitable person to work with children.* [*https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills/inspecting-safeguarding-in-early-years-education-and-skills*](https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills/inspecting-safeguarding-in-early-years-education-and-skills) |  |       |       |
| **1.1a** | **Have all committee members completed the appropriate checks and forms associated with their role as required by Ofsted?** |  |  |       |       |
| **1.2** | **Are all reasonable steps taken to ensure that the provider does not employ or use someone for work in or on behalf of the provision who is disqualified from registration by Ofsted or use, in regulated activity, any person barred by the DBS from working with children?** | *Circumstances which disqualify a person from becoming a childcare provider are set out in the Ofsted guides to registration, the Childcare Disqualification Regulations 2018* and *Sections 75 and 76 Childcare Act 2006* [*http://www.legislation.gov.uk/ukpga/2006/21/section/18*](http://www.legislation.gov.uk/ukpga/2006/21/section/18)*Childminders and Childcare registered on domestic premises or working on non-domestic premises up to 50% of time under a domestic registration this includes disqualification by association.**Disqualification by association is where the person, a person living with them\*, a person who works with them and cares for children, or lives and works on the premises where childcare is provided has either committed a relevant offence against a child; been subject to an order or determination removing a child from their care or preventing a child living with them; committed certain serious sexual or physical offences against an adult; been charged with certain offences against an adult; been included on the children’s barred list; been made subject to a disqualification order by the court; previously been refused registration as a childcare provider or provider or manager of a children’s home or had such registration cancelled.**DBS barring is different to Disqualification from Childcare. The DBS maintain a list of people who worked in regulated activity, who have been referred to them, and a determination has been made that they are unsuitable to work in regulated activity with children.** *Including anyone over 16 living at the premises including children at university but back for holidays and anyone staying at the Childminders over night for one or more nights per week.*
 |  |       |       |
| **1.2a** | **Are all persons aware that it is a criminal offence to employ or use someone for work in or on behalf of the provision who is disqualified from registration by Ofsted or use, in regulated activity, any person barred by the DBS from working with children** |  |  |       |       |
| **1.3** | **Is the provider aware of Ofsted requirements in the event of Disqualification?** | *In the event of disqualification of a registered provider, (or in the case of Childminders and Childcare on domestic premises a person living in the same household as the registered provider) the provider must not continue as an early years provider nor be directly concerned in the management of such provision.**Where an employer becomes aware of relevant information which may lead to disqualification of an employee, the employer must take immediate action to ensure the safety of children. In the event of disqualification of an employee the employer must not continue to employ that person.(EYFS 2021, 3.14 – 3.18).* |  |       |       |
| **1.4** | **Does the provider have arrangements in place to ensure that all agency/supply staff are suitable for working with children?** | *If recruited by an agency, the agency should provide the Early Years provider with written evidence that DBS and barred list checks are clear. Where there is information disclosed in the checks, the Early Years provider should request sight of the original certificate in order to make their own decision about using the person’s services. Agencies should also provide written evidence that all additional safer recruitment checks have been completed.* |  |       |       |
| **1.4a** | **Are arrangements in place with regard to students on placement to ensure that they are suitable for working with children?** |  |  |       |       |
| **1.5** | **Has a written risk assessment been undertaken and retained on any information provided e.g. in the DBS check, by referees and/or the candidate?** | *The employee receives a copy of their DBS certificate but the employer / registered body does not. Employers should show the DBS certificate so that the date of the check and DBS number can be recorded along with the name of the employer checking the DBS certificate. Employers need to ensure they know if the certificate contains any information which needs to be risk assessed. This risk assessment should be retained on the individual’s file.**Risk assessments should take into account:** *The information disclosed and what the individual has told you*
* *The seriousness or otherwise of the information disclosed*
* *The likelihood of the event or something similar happening again*
* *The person’s attitude to the event e.g. are they regretful and remorseful and do they appear to have learned from it or, conversely, are they minimising?*
* *Age of the person at the time of the event and amount of time elapsed since the event*
* *Circumstances surrounding the event*
* *Level of involvement in the event*
* *Previous and subsequent good character*
* *Any other mitigating or aggravating circumstances*
* *If the information suggests that the person could pose a risk of harm to children*

*At the time of the event if the person worked with children there would have been a duty to refer to the DBS. If this was not the case the as a prospective employer should risk assess and seek further advice with regards to making a referral. If the person has a conviction that may disqualify them from working in childcare call Ofsted on 0300 123 123.* |  |       |       |
| **1.6** | **Does the provider operate safer recruitment practices and have a recruitment policy?** | *Employers should be satisfied that all persons are of integrity and good character, have the skills and experience suitable for the work and are physically and mentally fit.* ***Safer recruitment includes:****References (at least two written and satisfactory, one from most recent employer and from most recent work with children if available)**Full employment history with explanations for any gaps.**Qualifications (certificates should be checked)**Interview to include questions to assess suitability to work with children.**Identity checks.**Other checks e.g. medical suitability including mental wellbeing.* *Declaration of convictions, cautions, court orders.* |  |       |       |
| **1.7** | **Has at least one member of the interview panel undertaken Safer Recruitment training?** | *The member of the panel who has undertaken this training should be responsible for ensuring that the full range of safer recruitment measures are undertaken. This includes when Childminders recruit and employ assistants.* *In order to comply with safer recruitment duties providers should always provide full and accurate references, in writing when asked by other employers.*  |  |       |       |
| **1.8** | **For all employees and regular volunteers, is there a written record of names addresses, dates of birth, qualifications required, right to work in UK?** | *The date the checks were completed and the initials of the person completing them needs to be recorded. Employers should be satisfied that all persons have integrity and are of good character. Providers should have individual records of names and addresses of staff members, volunteers and committee members and information about their recruitment, training and qualifications where relevant.* |  |       |       |

# Section 2 – Suitable People

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **2.1** | **Have all those who work directly with children or who are likely to have frequent unsupervised contact with them (inc. volunteers/supply staff) been subject to an enhanced DBS check and registered with the online update service?** | *On non-domestic premises the registered person is responsible for checking the suitability of: the manager; all other staff employed to work with children; all other people who live or work on the premises where childcare is provided.**Defined regulated activity is:**i) unsupervised activities: teach, train, instruct; care for or supervise children, or provide advice/guidance on well-being, or drive a vehicle only for children* *ii) work for a limited range of establishments, ‘specified places’ with opportunity for contact, (with children) e.g.….childcare premises**Such work is only considered to be regulated activity in establishments if it is: done ‘frequently’ i.e. once a week or more, or on 4 or more days in a 30 day period, or overnight; by the same person, engaged in work for in connection with the purposes of the establishment;* ***and*** *it gives the person the opportunity, in their work, to have contact with children. Day to day management or supervision on a regular basis of a person providing the above regulated activity for children is also regulated activity.**DfE has published guidance with regard to those who would be in regulated activity if they were not supervised by another person in regulated activity: Statutory guidance: Regulated activity, (children) - supervision of activity with children which is regulated activity when unsupervised. This is available on the DBS website and will assist the setting in determining which persons, when supervised, will not fall into the definition of regulated activity and levels and types of regular, day to day supervision required.**Providers should sign up to update service* [*https://www.gov.uk/dbs-update-service*](https://www.gov.uk/dbs-update-service) |  |       |       |
| **2.1a** | **Have assessments been undertaken to establish which persons working in the provision are, and are not in regulated activity and appropriate checks been undertaken?** |  |  |       |       |
| **2.1b** | **Have assessments been undertaken and appropriate supervision arrangements been put in place for those persons employed by the provider who have not been subject to DBS checks?** |  |  |       |       |
| **2.1c** | **For those who have previously lived abroad, has a certificate of good conduct or police report from the embassy of the country in which the person lived been received?** |  |  |       |       |
| **2.2** | **Have all registered persons, nominated persons and committee members been checked for suitability?** | *Ofsted undertake suitability checks including DBS checks on all those who make up the registered committee and/or the nominated person.* |  |       |       |
| **2.3** | **Is the provider aware of Ofsted requirements in the event of Disqualification**? | *See 1.3 above.* |  |       |       |
| **2.4** | **Does the provider ensure that persons who have not been subject to enhanced DBS checks do not have any unsupervised access to children on the premises?** | *Volunteers, contractors and other visitors should not have unsupervised access to children. Appropriate safer recruitment checks should also be made for volunteers e.g. informal interview and references.* |  |       |       |
| **2.5** | **Does the provider ensure that they verify the identity of all visitors and this is recorded in a visitors book?**  | *Where a person from another organisation e.g. the local authority, health service, is not known they should check on arrival their valid photo ID. In the rare event they require unsupervised access to a child it is the manager’s responsibility to risk assess. If this is considered necessary, assurance should be sought with the employing body that the person has a satisfactory enhanced DBS check and barred list check.* |  |       |       |
| **2.6** | **Are all staff informed and fully aware of the circumstances whereby they must inform their employer of any police action against them upon and during the course of their employment?** | *This should form part of the candidate application form and contract of employment. Staff should be expected to disclose any cautions, convictions, court orders, reprimands and warnings which may affect their suitability to work with children (whether received before or during their employment) or any circumstances which could lead to consideration of disqualification.* |  |       |       |
| **2.7** | **Does the provider inform Ofsted in circumstances relating to people and their suitability where they are legally bound to do so, as set out in the Statutory Framework and Registration requirements? (As soon as reasonably practicable, but at the latest within 14 days.)** | *See Statutory Framework for the EYFS (2021) Section 3 – The Safeguarding and Welfare Requirements for all circumstances when providers must contact Ofsted.*  |  |       |       |
| **2.8** | **Does the provider have arrangements for a disciplinary process/procedure to be undertaken where there is a complaint or allegation against someone who works in or on behalf of the setting?** | [*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/)*Referrals to the Duty Local Authority Designated Officer (LADO) must be made immediately where there is an allegation (relating to either within or out of the provision) that someone who works with children has-:* *behaved in a way that has harmed a child or may have harmed a child; possibly committed an offence against or related to a child; behaved towards a child or children in a way that indicates they may pose a risk of harm to children. A LADO Referral Form must be completed. https://www.safeguardingchildren.co.uk/professionals/forms-and-tools/* *.**Providers, as regulated activity providers, have a statutory duty to make referrals to the DBS where they have permanently removed a person from regulated activity through dismissal or permanent transfer, or would have done so had the person not left, resigned, retired or been made redundant* ***and*** *they believe that the person has engaged in ‘relevant conduct’, satisfied the ‘harm test’ or received a caution or conviction for a ‘relevant’ offence.* |  |       |       |
| **2.8a** | **Does the disciplinary policy /process state that, if staff are concerned that the responsible person is not taking concerns seriously or taking appropriate action, they must contact the Duty LADO and/or Ofsted directly?** |  |  |  |
| **2.8b** | **Are arrangements in place for making referrals to the Duty Local Authority Designated Officer (LADO) where an allegation is made against a person working at or on behalf of the provision?**  |  |  |       |       |
| **2.8c** | **Are arrangements in place to comply with the legal duty to make a referral to the DBS when required?** |  |  |       |       |
| **2.8d** | **Does the policy state that, if staff are concerned that the responsible person is not taking concerns seriously or taking appropriate action, they must contact the Duty LADO and/or Ofsted directly?** |  |  |       |       |
| **2.9** | **Are all staff aware they must not be under the influence of alcohol or any other substance which may affect their ability to care for children?**  | *Persons under medical investigation, treatment and/or taking medication should advise their medical practitioner of their employment to determine if this may affect their ability to care for children and their physical and mental fitness for work. Staff must inform the manager. EYFS (2021) 3.19.**All medication on the premises must be securely stored and out of reach of children at all times.* |  |       |       |
| **2.9a** | **Are all persons aware that they must not smoke, vape or use e-cigarettes in or on the premises when children are present or about to be present?** | *Smoking and Vaping EYFS (2021) 3.57* |  |       |       |
| **2.10** | **Do all relevant personnel complete and have authorised by their GP an Ofsted Health Declaration form and return it to Ofsted?** | <https://www.gov.uk/guidance/childcare-and-childrens-social-care-health-declaration-form> |  |       |       |
| **2.11** | **Are arrangements in place for effective staff induction, ongoing supervisions, peer on peer observations, support, coaching and training?** | *Regular supervisions must be in place for staff who have contact with children and families. Statutory Framework for EYFS (2021) 3.21 – 3.23.* |  |       |       |
| **2.11a** | **Is there a formal appraisal system in place?** | *Do appraisals address strengths and what is going well as well as concerns and gaps in training and knowledge?* |  |       |       |
| **2.12** | **When children are on the premises is there at least one person who holds a current full Paediatric First Aid (PFA) certificate?**  | *Statutory Framework for the EYFS (2021) 3.25 and Annex A: Criteria for effective PFA training.* *.* |  |       |       |
| **2.12a** | **Are PFA certificates displayed or a list of staff who have a current PFA displayed?** | *Providers should display (or make available) to parents staff PFA certificates or a list of staff who have a current PFA certificate* |  |       |       |
| **2.12b** | **Does someone with a full PFA certificate accompany children on outings?** | *Statutory Framework for the EYS (2021) 3.25* |  |       |       |
| **2.13** | **Do newly qualified early years staff (with a full and relevant level 2 or level 3 childcare qualification) also hold a valid PFA or emergency PFA certificate in order to be included in the required staff: child ratios?** | *Statutory Framework for the EYFS (2021) 3.25.* |  |       |       |
| **2.14** | **Is every child assigned a Key Person?** | *Statutory Framework for the EYFS (2021) 3.27.* |  |       |       |
| **2.15** | **Does the manager hold at least a relevant level 3 qualification and at least half of all other staff hold a full and relevant level 2 qualification?** | *Statutory Framework for the EYFS (2021) 3.28. The manager should have at least two years’ experience of working in an early years setting, or have at least two years’ other suitable experience. There must be a named deputy who, in their judgement, is capable and qualified to take charge in the manager’s absence.* |  |       |       |
| **2.16** | **Does the registered person ensure that only those aged 17 or over may be included in ratios and that staff under 17 are supervised at all times?** | *Statutory Framework for the EYFS (2021) 3.30.*  |  |       |       |
| **2.17** | **Does the registered person ensure that children are adequately supervised and that staffing ratios are met at all times?** | *Statutory Framework for the EYFS (2021) 3.20 – 3.44.* |  |       |       |
| **2.18** | **Is there a nominated person designated to take lead responsibility for safeguarding children ie a Designated Safeguarding Lead (DSL)?** | *Statutory Framework for the EYFS (2021) 3.5 – 3.8. The DSL is responsible for liaison with local statutory children’s services agencies and with North Yorkshire Safeguarding Children Partnership (NYSCP).*  |  |       |       |
| **2.18a** | **Has the DSL undertaken appropriate training in child protection and safeguarding to fulfil their role?** |  |  |       |       |
| **2.18b** | **Does the DSL ensure that all practitioners can identify signs of possible abuse and neglect and respond in a timely and appropriate way?** |  |  |       |       |
| **2.18c** | **Are individual training needs identified through supervisions and appraisals?** | *They must provide ongoing support, advice and guidance to all staff. They must attend child protection training that enables them to them to take the lead for safeguarding and child protection, identify, understand and respond appropriately to possible signs of abuse and neglect.*  |  |       |       |
| **2.18d** | **Is there a named Deputy DSL?** |  |  |       |       |
| **2.19** | **In addition to the formal training, does the DSL undertake refresher training to keep their knowledge and skills up to date**? | *Regular supervision and appraisals should identify the training and professional development needs of the DSL and identify courses required to provide them with an up to date knowledge, recent guidance and specific issues.* |  |       |       |
| **2.19a** | **Is there evidence that the DSL is effectively fulfilling their role?** | *How is this measured? Is there a record in Supervision notes? Is there an audit of actions in relation to concerned raised?* |  |       |       |
| **2.20** | **Do all practitioners have up to date knowledge and understanding of safeguarding, child protection (including online safety) and Prevent duty?**  | *Statutory Framework for the EYFS (2021) 3.4 and 3.7.*[*https://www.safeguardingchildren.co.uk/*](https://www.safeguardingchildren.co.uk/) |  |       |       |
| **2.20a** | **Do all staff know how to implement the safeguarding and child protection policy and procedures appropriately and are they supported in doing so?** | *How is this measured? Is there a record in staff Supervision notes etc.?* |  |       |       |
| **2.21** | **Is there evidence that all staff receive and complete induction training in child protection and safeguarding?**  | *All staff should have appropriate qualifications, training, skills, knowledge and a clear understanding of their role and responsibilities in order to undertake their work. Induction training must include: emergency evacuation procedures; safeguarding; child protection; equality; behaviour management; health and safety. All practitioners should undertake, as a minimum, basic child protection training and should be aware of the NYSCP guidance and procedures.* |  |       |       |
| **2.21a** | **Do staff regularly update their safeguarding and child protection training and knowledge?** | *Has the provider signed up for e-bulletin updates from NYSCP?* [*https://www.safeguardingchildren.co.uk/professionals/nyscp-e-bulletin/*](https://www.safeguardingchildren.co.uk/professionals/nyscp-e-bulletin/) |  |       |       |
| **2.21b** | **Is there evidence that safeguarding is a key component at all staff meetings, staff appraisals and supervision**? | *A record of the completion of induction/updated training and that appropriate policies and procedures have been read and understood should be kept on the individual’s personnel file.* *Regular supervisions and appraisals should identify staff training and development needs including safeguarding and child protection.* |  |       |       |

# Section 3 – Child Protection

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **3.1** | **Does the provider have a clear and effective written safeguarding children policy and procedure?** | *This should be in line with NYSCP guidance and procedures. The policy should be reviewed at least annually or sooner when deemed necessary*https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/ |  |       |       |
| **3.1a** | **Is there evidence that the policy is fully implemented and that staff fulfil their responsibilities in meeting the safeguarding and welfare requirements of the EYFS?** | *The provider should have measures in place to ensure that a culture of safeguarding is embedded, promoted and understood and have effective systems to monitor that the safeguarding policy is effectively implemented.* |  |       |       |
| **3.1b** | **Is children’s safety and safeguarding central to everything practitioners do?** | *Children should know that they can share concerns with any adult and that adults help children to disclose by having a culture of listening to children. Do children feel safe to disclose?* |  |       |       |
| **3.2** | **Does the policy include procedures to be followed with regard to any abuse that may have taken place on the premises?** | *All providers must inform Ofsted without delay of such matters, and of the actions taken, failure to do so without reasonable excuse is a criminal offence.**They must also follow the NYSCP procedures and inform Children’s Social Care (CSC)/ Police immediately.* |  |       |       |
| **3.2a** | **Does the policy define the different types of child abuse?** | *Does the policy reflect “Working Together to Safeguard Children” to ensure a consistent definition of the different types of abuse?* |  |       |       |
| **3.3** | **Does the policy define procedures regarding concerns that a child may be suffering any form of abuse including physical, emotional, neglect or sexual?****Providers need to be aware of safeguarding issues which can put children at risk (KCSIE 2022)** | [*https://www.safeguardingchildren.co.uk/about-us/worried-about-a-child/*](https://www.safeguardingchildren.co.uk/about-us/worried-about-a-child/)*The policy should also make reference to external avenues for notifying concerns and, links to whistle blowing procedures. Staff should be aware of safeguarding issues which can put children at risk as stated in KCSIE (2022 32-48):-** *Child on child abuse*
* *Child Sexual Exploitation*
* *Child Criminal Exploitation*
* *Domestic Abuse*
* *Female Genital Mutilation*
* *Mental Health*
* *Serious Violence*
 |  |       |       |
| **3.4** | **Does the policy include an explanation of the action to be taken when there are safeguarding concerns about a child?** | *The policy must include procedures to be followed when there are allegations of harm or abuse against persons working or looking after children at the premises, irrespective of whether the alleged incidents took place on the premises or elsewhere. Refer to* [*https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/*](https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/)*Universal Referral Form must be completed* [*https://www.safeguardingchildren.co.uk/about-us/worried-about-a-child/*](https://www.safeguardingchildren.co.uk/about-us/worried-about-a-child/)*Registered providers must notify Ofsted or their childminder agency of the action taken in respect of the allegations. These notifications must be made as soon as is reasonably practicable, but at the latest within 14 days of the allegations being made. A registered provider who, without reasonable excuse, fails to comply with this requirement, commits an offence.* *They must also follow the NYSCP procedures and inform the LADO within one working day and complete a LADO Referral Form* [*https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/*](https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/)[*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/)[*https://www.safeguardingchildren.co.uk/professionals/forms-and-tools/*](https://www.safeguardingchildren.co.uk/professionals/forms-and-tools/) |  |       |       |
| **3.4a** | **Does the policy include procedures in the event of an allegation being made against a member of staff?** |  |  |       |       |
| **3.4b** | **Does the policy require that where a concern meets the harm/risk of harm threshold and is therefore an allegation, that staff follow the procedures and make a referral to the LADO?**  | *NYCC LADO must be informed within one working day and complete a LADO Referral Form*[*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/) |  |       |       |
| **3.5** | **Does the policy include the use of mobile phones and cameras in the provision?** | *Statutory Framework for EYFS (2021) 3.4* *Staff should not have access to their personal mobile phones when working directly with children.*  |  |       |       |
| **3.5a** | **Is there a policy to safeguard children and staff online?** | *Are there appropriate technological controls in place including firewalls, controlled access and monitoring?*[Safeguarding children and protecting professionals in early years settings: online safety considerations - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/safeguarding-children-and-protecting-professionals-in-early-years-settings-online-safety-considerations)[*https://www.gov.uk/government/organisations/uk-council-for-internet-safety*](https://www.gov.uk/government/organisations/uk-council-for-internet-safety)[*https://www.gov.uk/government/groups/uk-council-for-child-internet-safety-ukccis*](https://www.gov.uk/government/groups/uk-council-for-child-internet-safety-ukccis) |  |       |       |
| **3.5b** | **Is there a record that all staff understand these procedures?** | *Is this formally recorded as part of staff supervision discussions?* |  |       |       |
| **3.5c** | **Does the policy cover the safe and appropriate of digital technology including recording videos on phones, tablets and other electronic equipment with capacity to record, store or transmit images?**  | *Consider safe use of any connected devices/tablets/mobile phones/computers etc.**The policy should set out the provider’s arrangements for use of equipment and the taking, storing and use of images of children* |  |       |       |
| **3.5d** | **Has written consent been obtained for using or displaying images of children within the building, online or publicity materials?** | *This must cover the use of names and links to ensure the security of children is protected especially those children who are or have been looked after by the local authority including children with foster carers and children who have been adopted.* |  |       |       |
| **3.5e** | **Does the policy cover the use of Smart technology?** | *Is there a definition of what Smart technology is including phones, TVs, appliances, personal assistants, watches?* |  |       |       |
| **3.5f** | **Does the policy cover arrangements for parents, visitors and staff including use of Smart devices including phones, watches, glasses and other wearable devices?** | *Parents and visitors should be asked to switch off and/ or safely store all technology when in the provision.* |  |       |       |
| **3.5g** | **Are appropriate measures and security controls in place to protect children online?** | *Safeguarding requires all practitioners to be up to date with the changing nature of risks that are online.* |  |       |       |
| **3.6** | **Does the policy refer to the** **Statutory Prevent duty (to prevent radicalisation and extremism)?** | *The Counter Terrorism and Security Act 2015 places a duty on early years providers “to have due regard to the need to prevent people from being drawn into terrorism” (the Prevent duty) See Statutory Framework for EYFS (2021) 3.7.*[*https://www.gov.uk/government/publications/prevent-duty-guidance*](https://www.gov.uk/government/publications/prevent-duty-guidance)[*https://www.gov.uk/government/publications/protecting-children-from-radicalisation-the-prevent-duty*](https://www.gov.uk/government/publications/protecting-children-from-radicalisation-the-prevent-duty)[*https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/prevent-working-with-individuals-vulnerable-to-extremism/*](https://www.safeguardingchildren.co.uk/professionals/procedures-practice-guidance-and-one-minute-guides/prevent-working-with-individuals-vulnerable-to-extremism/) |  |       |       |
| **3.6a** | **Do all staff know the referral process for any concerns regarding the Prevent duty?** |  |  |       |       |
| **3.6b** | **Does the policy include procedures to be followed regarding concerns that a child, or their family may be at risk of radicalisation?** |  |  |       |       |
| **3.7** | **Does the policy have links to other policies and practices relating to welfare arrangements including online safety and children with SEND?** | [*https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills*](https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills) |  |       |       |
| **3.7a** | **Does the policy reference safeguarding action which may be needed to protect children from:-** |  |  |       |       |
|  | * **Neglect**
 | *[ ]  Yes /* *[ ]  No* |
|  | * **Physical abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Sexual abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Emotional abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Child on child abuse including bullying**
 | *[ ]  Yes / [ ]  No* |
|  | * **Online bullying**
 | *[ ]  Yes / [ ]  No* |
|  | * **Prejudice based bullying**
 | *[ ]  Yes / [ ]  No* |
|  | * **Racism**
 | *[ ]  Yes / [ ]  No* |
|  | * **Disability abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Homophobic abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Transphobic abuse**
 | *[ ]  Yes / [ ]  No* |
|  | * **Gender based violence**
 | *[ ]  Yes / [ ]  No* |
|  | * **Domestic abuse inc. violence against women and girls inc. FGM**
 | *[ ]  Yes / [ ]  No* |
|  | * **Mental Health**
 | *[ ]  Yes / [ ]  No* |
|  | * **Radicalisation**
 | *[ ]  Yes / [ ]  No* |
|  | * **Extremist behaviour**
 | *[ ]  Yes / [ ]  No* |
|  | * **Child Sexual Exploitation**
 | *[ ]  Yes / [ ]  No* |
|  | * **Trafficking**
 | *[ ]  Yes / [ ]  No* |
|  | * **Child Criminal Exploitation**
 | *[ ]  Yes / [ ]  No* |
|  | * **Serious violence including county lines**
 | *[ ]  Yes / [ ]  No* |
| **3.8** | **Is the policy and procedure explained to and accessible to parents and carers?**  | *Are parents/carers asked to sign a statement on the admission form that they have seen policy? Is it available in reception? Is it emailed to parents? Is it available on the provider’s website and/or Facebook page?* |  |       |       |
| **3.9** | **Are child protection records passed to other providers when the child moves including school?**  | *Providers should ensure that when a child moves any records relating to child protection are passed on securely to the provider’s DSL. It is good practice for the provider to keep the originals and provide photocopies to the new provision.* |  |       |       |
| **3.10** | **Have staff and volunteers read “What to do if you’re worried a child is being abused 2015” and “Working Together to Safeguard Children 2018”?****Staff should also be aware of KCSIE (2022).** | *Staff/volunteers should be provided with a copy.* <https://www.gov.uk/government/publications/what-to-do-if-youre-worried-a-child-is-being-abused--2> [Working together to safeguard children - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/working-together-to-safeguard-children--2) |  |       |       |
| **3.10a** | **Does the provider record when staff and volunteers have confirmed they have read “What to do if you’re worried a child is being abused 2015” and “Working Together to Safeguard Children 2018”** | *The provider may keep a single central record of these details for each which is kept up to date.* |  |       |       |
| **3.11** | **Are staff and volunteers aware of what they should do if they have concerns about another staff member?** | *Staff should refer to the Designated Safeguarding Lead (DSL) in the provision in the first instance. Where there are concerns about the DSL, these should be referred to the committee and to the Duty LADO.* [*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/managing-allegations-against-those-who-work-or-volunteer-with-children/) |  |       |       |
| **3.12** | **Are staff and volunteers aware of what they should do if they have concerns about safeguarding practices within the provision?** | *Staff and volunteers should be able to raise concerns about poor or unsafe practice and potential failures in the provision’s safeguarding practices.* *Appropriate whistleblowing procedures such be in place and accessible to all staff.* |  |       |       |
| **3.12a** | **Does the provision have a Whistleblowing Policy and procedures in place?** | *Staff and volunteers should be able to raise concerns about poor or unsafe practice and potential failures in the provision’s safeguarding practices.* *Appropriate whistleblowing procedures such be in place and accessible to all staff.* |  |       |       |
| **3.12b** | **Have all staff been made aware of the whistleblowing procedures and know what to do if they identify a concern?**  | *Does the provider monitor this and is this recorded. Where staff feel unable to raise the issue with their employer or that concerns are not being addressed, other whistleblowing options should be available to them.* |  |       |       |
| **3.13** | **Is there a staff behaviour policy (code of conduct) in place?** | *Include staff/child relationships, communications including the use of social media, online presence and staff using personal smart devices?* [*https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills*](https://www.gov.uk/government/publications/inspecting-safeguarding-in-early-years-education-and-skills)*Staff must only work directly with children if medical advice confirms that the medication is unlikely to impair the ability to look after children. EYFS (2021) 3.19.* |  |       |       |
| **3.13a** | **Does the staff behaviour policy include expectations for staff behaviour online?**  |  |  |       |       |
| **3.13b** | **Does the policy include obtaining consent to publish images of children online?**  |  |  |       |       |
| **3.14** | **Do parents understand the setting’s safeguarding responsibilities?** | *Safeguarding Information is shared with parents on admission to the setting and at meetings for new or prospective parents.* |  |       |       |
| **3.14a** | **Is there a written procedure in place for dealing with concerns and complaints from parents including providing parents with details on how to contact Ofsted if they believe the provider is not meeting the EYFS requirements?** | *Statutory Framework for EYFS (2021) 3.75 – 3.76.* |  |       |       |
| **3.15** | **Are suitable hygienic changing facilities available for changing any children and for providing intimate care?** | *Statutory Framework for EYFS (2021) 3.61**Is a daily log kept of children’s intimate care needs and when children are changed?* |  |       |       |

# Section4 - Behaviour/Attendance/SEND

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **4.1** | **Are appropriate records kept on children who attend the provision?** | *Personal information should be held on all children in line with the documentation requirements in the Statutory Framework for the EYFS (2021) 3.69 – 3.74 and meet General Data Protection Regulations (GDPR). Additional information should be gathered to promote the safety and welfare of children: GP and Dentist details, court orders in relation to the child, details of persons with parental responsibility, persons authorised to collect the child, specific medical needs or allergies.**Child protection records should include detail of all significant contacts with parents, carers, other agencies/professionals and of all concerns, discussions, agreements made and actions taken. They should be timed, dated, state the name and designation of any person spoken to and there should be arrangements in place for monitoring and review of the records.* |  |       |       |
| **4.1a** | **Are all records on children and family details stored safely on the premises in line with Data Protection and GDPR?** | *All staff should be aware of the need to protect the privacy of children in their care and that information should be handled in a way that ensures confidentiality.**Records should be shared with those who have a professional need to see them. Parents/carers should be provided with access to records about their child unless exemptions to disclosure under the GDPR apply i.e. information which might cause serious harm to the physical or mental health of the pupil or another individual; or cases where the disclosure would reveal a child is at risk of abuse.**Records relating to confidential child protection matters should be separate from the child’s main file, locked away and only accessible to the DSL/setting manager.* |  |       |       |
| **4.2** | **Does the provider ensure that children are aware of what is unacceptable behaviour towards and that children feel safe to disclose?** | *Staff modelling behaviour and the use of teaching and learning materials can help children understand what is acceptable and what is not.*  |  |       |       |
| **4.2a** | **Are children taught how to keep themselves safe including online?** | *Children should be supported to understand their world; make choices; express themselves and their feelings; ask for help; understand appropriate behaviour; keep themselves safe.* [Digiduck Stories - Childnet](https://www.childnet.com/resources/digiduck-stories) |  |       |       |
| **4.2b** | **Does the provider seek the views of children and is the voice of the child heard in matters regarding their care?** | *Children should feel secure and safe to express their views and preferences, make choices and take responsibility for their own and other’s safety. Providers should promote a culture of actively listening to children to improve a child’s experience when making a disclosure.*  |  |       |       |
| **4.3** | **Does the provider ensure that the premises, environment and equipment are safe and fit for purpose and comply with health and safety legislation?**  | *Statutory Framework for EYFS (2021)3.55 – 3.67.*[*https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2*](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **4.3a**  | **Does the provider have a schedule maintenance for resources and equipment?** | *PAT testing is not a legal requirement but measures must be in place to ensure all equipment and resources are legally safe.* |  |       |       |
| **4.4** | **Does the provider ensure children are only released into the care of individuals who have been notified to the provider by the parent and children do not leave the premises unsupervised?** | *Statutory Framework for EYFS (2021) 3.63*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **4.4a** | **Do all staff know the procedure to be followed in the event of a parent/carer failing to collect a child at the appointed time?** | *EYFS (2021) 3.74*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **4.4b** | **Do all staff know the procedure to be followed in the event of a child going missing at, or away from, the setting?** | *EYFS (2021) 3.74*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **4.5** | **Are arrangements in place to support children with SEN or disabilities?** | *EYFS (2021) 3.68*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |

# Section 5 – Premises Security/Health and Safety

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **5.1** | **Does the provider have a Health and Safety Policy?**  | *This should be in line with NYSCP guidance and procedures. The policy should be reviewed at least annually.* |  |       |       |
| **5.1b** | **Is the policy implemented consistently to ensure that all staff take individual and collective responsibility to create an environment that is welcoming, safe and stimulating?** | *Children should know that they can share concerns with any adult. Children’s behaviour should show they feel safe.* |  |       |       |
| **5.1c** | **Does the provision have a robust procedure to manage emergency situations should they arise?** | *All staff should be fully aware and practised in procedures.* |  |       |       |
| **5.2** | **Does the provider have clear guidance to ensure children remain safe from the harmful effects of exposure to sun and extreme weather?** | *Application of sunscreen at appropriate times, sun hats and appropriate clothing, continuous access to drinking water, access to shaded/protected areas. Risk assessing the safety of extreme weather conditions.* |  |       |       |
| **5.3** | **Are appropriate physical, technological and procedural arrangements in place to ensure the security of the premises prevents children leaving without permission or going missing?** | *Is a risk assessment regularly undertaken? EYFS (2021) 3.65. Are there suitable physical barriers, fencing, gates, locks on doors etc. and/or by direct supervision so that no child is permitted in an insecure area unless under supervision. Fire exits must be easily opened from inside by adults.*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.4** | **Are measures in place to ensure that children remain safe and appropriately supervised during free flow play and outdoor play?** | *Free flow play areas should be secure to remove the threat of a child being snatched. Providers must ensure children are supervised appropriately and must always be within sight or hearing EYFS (2021) 3.29.*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.5** | **Are robust arrangements in place for receiving and handing over children at the start/ end of the day and at transition times throughout the day?**  | *Staff should only hand over a child to an adult who is known to the provider as someone permitted by parents/carers to receive the child. Transparent systems should be in place for signing children in and out.*  |  |       |       |
| **5.5a** | **Are robust arrangements in place for registering the arrival and departure of children at all times within the day?**  | *EYFS (2021) 3.77**Staff should also ensure children are recorded appropriately if moving between rooms/areas throughout the day.*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.6** | **Are correct adult:child ratios maintained at all times?**  | *EYFS (2021) 3.28 – 3.40*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.7** | **Are robust arrangements in place to ensure the premises, resources, children and adults are safe including any public health outbreaks or pandemics (e.g. Covid-19)?** | *Refer to latest government guidance.* |  |       |       |
| **5.8** | **Are measures in place to promote good health including oral health?** | *EYFS (2021) 3.45*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.8a** | **Are children supervised whilst eating?**  | *EYFS (2021) 3.29*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.8b** | **Is fresh drinking water available and accessible to children at all times?** | *EYFS (2021) 3.48*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.8c** | **Are sleeping children frequently checked?**  | *EYFS (2021) 3.60*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.8d** | **Is a policy in place for administrating medicines?** | *EYFS (2021) 3.46 and 3.47*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **5.8e** | **Is there a plan to manage food safety including the risks of the 14 allergens listed in the Food Information Regulations (FIR) December 2014/2019 and any other allergens and food intolerances?** | *EYFS (2021) 3.49 and 3.50*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |

# Section 6 – Information sharing and working arrangements

|  | **Key Questions** | **Guidance Notes** | **Grading** | **Evidence** | **Actions Required** |
| --- | --- | --- | --- | --- | --- |
| **6.1** | **Does the policy clearly set out arrangements for record keeping, retention of records, information sharing and confidentiality?** | *The policy should include confidentiality requirements and that failure to comply with this may be a criminal offence.**EYFS (2021) 3.69 – 3.72*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **6.1a** | **Do all staff know that Data Protection and GDPR do not prevent or limit the sharing of information to keep children safe?** | [*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/information-sharing-one-minute-guide/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/information-sharing-one-minute-guide/)[*https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/intelligence-sharing/*](https://www.safeguardingchildren.co.uk/professionals/one-minute-guides/intelligence-sharing/) |  |       |       |
| **6.2** | **Are copies of all policies and procedures made available to all staff (including temporary, students and volunteers).**  | *This should form part of the induction process and written evidence obtained as confirmation.* |  |       |       |
| **6.3** | **Is there a written record that all staff receive induction training in child protection and safeguarding and their knowledge is kept up to date?**  | *EYFS (2021) 3.6, 3.20 – 3.23. Written evidence should be kept in individual staff’s files as confirmation of this.*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |
| **6.3a** | **Is safeguarding a key component at all staff meetings, staff appraisals and supervision?** |  |  |       |       |
| **6.4** | **Do providers works in partnership with parents/carers?** | *Parents/carers should be informed and consulted in all matters relating to their child’s welfare. When a child is at risk of significant harm referrals can be made without parents/carers knowledge or consent.* |  |       |       |
| **6.5** | **Do providers remedy any deficiencies or weaknesses in safeguarding and child protection arrangements?** | *Evidence of risk assessments and development plans.* |  |       |       |
| **6.6** | **Do providers fully comply with Section 3 – The safeguarding and welfare requirements of the Statutory Framework for the EYFS (2021)?** |  |  |       |       |
| **6.7** | **Do providers have a written procedure for dealing with concerns and complaints and make available to parents how to contact Ofsted or the childminder agency?** | *EYFS (2021) 3.75 and 3.76.*[Early years foundation stage (EYFS) statutory framework - GOV.UK (www.gov.uk)](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) |  |       |       |