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| 1. **Governance arrangements undertaken by the trustees, proprietor or management committee** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 1.1 | Governance arrangements have established that a health and safety audit has been undertaken to ensure the setting provides a safe environment for staff, volunteers and children. | Regular site walks and other quality assurance activities should establish that health and safety practices are understood and embedded. |  |  |
| 1.2 | Governance arrangements have established that the setting has all the statutory and required safeguarding policies and procedures in place. | Policies and procedures should be reviewed at regular intervals to ensure they are kept up to date. The effectiveness of each policy should be considered. |  |  |
| 1.3 | Governance arrangements have established that all the required safer recruitment checks are undertaken on new staff, volunteers and third-party staff as appropriate to ensure they are suitable to work with children and fulfil the requirements of the role in including the training specified in section 7. | The setting should retain evidence of the safer recruitment checks undertaken. |  |  |
| 1.4 | Governance arrangements have established that the setting’s policies, procedures, practices and training are in keeping with the guidance set out in the [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2), [Working Together to Safeguard Children](https://www.gov.uk/government/publications/working-together-to-safeguard-children--2) guidance and [The Prevent Duty](https://www.gov.uk/government/publications/protecting-children-from-radicalisation-the-prevent-duty). | Policies, procedures, practices and training should be in keeping with the guidance set out in [EYFS Framework](file:///C:\Users\user\AppData\Local\Packages\microsoft.windowscommunicationsapps_8wekyb3d8bbwe\LocalState\Files\S0\89468\Attachments\Early%20Years%20Foundation%20Stage%20Framework), in particular section 3: safeguarding and welfare requirements. In addition, policies, procedures, practices and training should be in keeping with any guidance provided by the Local Safeguarding Children Partnership. |  |  |
| 1.5 | Governance arrangements have established that any actions arising from this annual LCC/ Local Safeguarding Children Partnership Safeguarding Audit are addressed in a timely way. | Minutes of meetings should evidence oversight of any actions arising. |  |  |
| 1.6 | Governance arrangements ensure there are termly meetings with the Designated Safeguarding Officer/Lead to support the review of safeguarding arrangements. | These meetings should include ‘site walks’ to review and discuss provision. |  |  |
| 1.7 | Governance arrangements ensure the Designated Safeguarding Lead provides a twice-yearly report summarising the effectiveness of the setting’s safeguarding arrangements and how key practice standards continue to be met. | The report should establish key statutory training has taken place and record key information including: the number of child welfare concerns raised by staff and volunteers with the DSL; number of referrals made by the DSL to children’s services; number of referrals to the LADO and the number of children open to multi-agency plans (EHAT, CIN or CP). The report should include an analysis of attendance and key behaviour data. The report comments on the outcomes of the cohort of vulnerable children. |  |  |
| 1.8 | Governance arrangements have established that staff are suitably qualified and staff: child ratios are appropriate. | Paragraphs 3.28 to 3.44 of [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) set out the requirements. |  |  |
| 1. **Leadership and management of safeguarding** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 2.1 | The setting has a Designated Safeguarding Lead who is a senior member of staff and who takes lead responsibility for safeguarding. | The Designated Safeguarding Lead is responsible for liaison with local statutory children’s services and with the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance). They must provide support, advice and guidance to any staff and volunteers on an ongoing basis, and on a specific safeguarding issue as required. The job description of the Designated Safeguarding Lead should reflect the specifics of their role. |  |  |
| 2.2 | The setting has further trained Deputy Designated Safeguarding Officer/Leads to provide cover for the role of DSL. | The job description of the Deputy Designated Safeguarding Lead should reflect their role. |  |  |
| 2.3 | A trained Designated Safeguarding Officer/Lead or Deputy Designated Safeguarding Officer/Lead is always on site or available to staff and volunteers. | During a pandemic or similar ‘it is acceptable for the safeguarding lead to not be based on site if this is not practical, for example, they may be working from home, or be based at another setting, as long as they are still available to provide support, advice and guidance to staff.’ |  |  |
| 2.4 | Parents and carers, all staff and volunteers are aware of who the named Designated Safeguarding Officers/Leads and Deputy Designated Safeguarding Officers/Leads are for the setting. | This information should be included in the safeguarding and child protection policy and available via safeguarding noticeboards at the setting and on the setting’s website. It should be provided as part of any guidance to visitors and the induction of any new staff. |  |  |
| 2.5 | The setting has appropriate arrangements in place for the supervision of staff who have contact with children and families. | Effective supervision provides support, coaching and training for the practitioner and promotes the interests of children. Supervision should foster a culture of mutual support, teamwork and continuous improvement, which encourages the confidential discussion of sensitive issues. Supervision should provide opportunities for staff to:   * discuss any issues – particularly concerning children’s development or wellbeing, including child protection concerns * identify solutions to address issues as they arise * receive coaching to improve their personal effectiveness |  |  |
| 2.6 | The setting has ensured each child has an assigned key person. | The key person role is to help ensure that every child’s care is tailored to meet their individual needs to help the child become familiar with the setting, offer a settled relationship for the child and build a relationship with their parents. |  |  |
| 2.7 | The setting has ensured that staff, including the manager, are suitably qualified and that staff:child ratios are in keeping with the requirements of [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2). | Paragraphs 3.28 to 3.44 of [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) set out the requirements including:  In settings on the early years register, the manager must hold an approved level 3 qualification or above and at least half of all other staff must hold at least an approved level 2 qualification. 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. The provider must ensure there is a named deputy who, in their judgement, is capable and qualified to take charge in the manager’s absence. |  |  |
| 1. **Policies and procedures** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 3.1 | The setting’s safeguarding framework covers the required range of policies and procedures. Appropriate policies and procedures are available to parents and carers. | Policies and procedures should have regard for statutory guidance including [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) and  [Working Together to Safeguard Children](https://www.gov.uk/government/publications/working-together-to-safeguard-children--2) alongside local guidance provided by the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance).  Safeguarding policies and procedures should include:   * Child protection * Managing allegations against staff and volunteers * Staff code of conduct * Use of mobile phones and cameras * No smoking * Online safety * Acceptable usage policy * Social networking * Taking and storage of digital images * Record keeping, retention and transfer * Data protection and privacy policy * Whistleblowing * Health and safety * Trips, activities and risk assessments * The use of physical contact and intervention * Managing children’s behaviour including bullying or inappropriate sexualised behaviours * Lost children * Uncollected children * Intimate care * Supporting students with additional needs including SEND * Safer Recruitment * Emergency Planning * Lockdown (due to an immediate perceived threat) |  |  |
| 3.2 | The setting has a mechanism in place to evaluate that staff have read and understood the required safeguarding policies and procedures. | The setting should ensure that child protection procedures are clearly understood by all. |  |  |
| 3.3 | The safeguarding and child protection policy follows Local Safeguarding Children Partnership procedures; links to key statutory guidance and is available to parents/carers on request. | The policy should outline the actions staff and volunteers should take where there are safeguarding concerns about a child and in the event of an allegation being made about a member of staff. The policy should cover the use of mobile phones and cameras. |  |  |
| 3.4 | The safeguarding and child protection policy is reviewed annually. | Minutes of meetings should reflect the policy being reviewed for its effectiveness. |  |  |
| 3.5 | The safeguarding and child protection procedures set out the steps staff should take if they have concerns about a child’s welfare. | All staff and volunteers should be familiar with the setting’s child protection procedures which should be in line with guidance provided by [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) including local escalation procedures. If providers have concerns about children's safety or welfare, they must notify the appropriate agencies without delay. This means the local children's social care services and, in emergencies, the police. Liverpool Careline should be telephoned without delay on 0151 233 3700 if there are child protection concerns. A setting should telephone the police on 999 if a child is in immediate/imminent danger. For non-urgent advice settings can also seek advice from the [Early Help Hubs.](https://ehd.liverpool.gov.uk/kb5/liverpool/fsd/results.page?qt=early+help+hubs&term=&sorttype=relevance) Settings may want to draw upon the following local resources: [LCC website](https://liverpool.gov.uk/children-and-families/childrens-social-care/keeping-children-safe/children-at-risk/), [LSCP](https://liverpoolscp.org.uk/p/worried-or-concerned-about-a-child-or-young-person) or [Safeguarding-Mate](https://www.schoolimprovementliverpool.co.uk/safeguarding-mate/) to guide their practice. Where providers have children who live in neighbouring authorities the provider should follow the local safeguarding partnership procedures of that authority. |  |  |
| 3.6 | The setting maintains a list of all children for whom they retain a safeguarding file. | This list should include all open multi-agency cases, closed cases and any children where concerns have been recorded but are not currently subject to multi-agency activity. |  |  |
| 3.7 | The setting maintains a list of safeguarding concerns referred to them by staff and volunteers and indicating those that were subsequently referred to children’s services. | The information should provide brief details of the resolution. More detailed records will be retained on the child’s individual safeguarding file. |  |  |
| 3.8 | The setting ensures they are represented at all multi-agency meetings in respect of a child. | The setting should provide written information to the meeting in line with Local Safeguarding Children Partnership expectations. |  |  |
| 3.9 | Safeguarding records and child protection records are kept separately and securely with limited access. | Safeguarding records and child protection records are either kept in a locked cabinet or are password protected if kept on a computer.  Confidential information and records about staff and children must be held securely and only accessible and available to those who have a right or professional need to see them. Providers must be aware of their responsibilities under the Data Protection Legislation and where relevant the Freedom of Information Act 2000. Providers must ensure that all staff understand the need to protect the privacy of the children in their care as well as the legal requirements that exist to ensure that information relating to the child is handled in a way that ensures confidentiality. The Data Protection Act 2018 (DPA) gives parents and carers the right to access information about their child that a provider holds. However, the DPA also sets out specific exemptions under which certain personal information may, under specific circumstances, be withheld from release. **For example, a relevant professional will need to give careful consideration as to whether the disclosure of certain information about a child could cause harm either to the child or any other individual.** Further guidance can be found on the website of the [Information Commissioner’s Office](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/). |  |  |
| 3.10 | Safeguarding records and child protection records indicate effective practice, including a chronology of concerns and actions and decisions taken. | Providers should consider any advice provided by [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance). Records should distinguish between fact and opinion and observations by other staff. Written reports should be dated and signed by staff. Records should include the ‘voice of the child’ and observations of the child. Actions and decisions should be clearly recorded. Records should indicate when required:   * When a child protection telephone referral is made to children’s services * When a written referral is made to children’s services * When information is shared with other agencies * Any escalation of concerns * Any notes and minutes from multi-agency meetings |  |  |
| 3.11 | Safeguarding and child protection records are transferred securely when a child moves to a new setting and within 5 days of the child beginning at the new setting. | Evidence of the transfer of records should be retained. There should always be a conversation or meeting ahead of the child transferring to the new setting where there are known safeguarding concerns. |  |  |
| 3.12 | Safeguarding and child protection records (or copies) are retained in line within any guidance from [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance). | Records relating to individual children must be retained for a reasonable period of time after they have left the provision. Individual providers should determine how long to retain records relating to individual children. |  |  |
| 3.13 | The Designated Safeguarding Lead and Deputy Designated Safeguarding Lead are familiar with the requirement to share information in line with the statutory [‘Guidance on information sharing for people who provide safeguarding services to children, young people, parents and carers’](https://www.gov.uk/government/publications/safeguarding-practitioners-information-sharing-advice) | Child protection and safeguarding records should indicate the setting’s decision to share or not to share information. *Under the GDPR and Data Protection Act 2018 you may share information without consent if, in your judgement, there is a lawful basis to do so, such as where safety may be at risk.* |  |  |
| 3.14 | The setting ensures all staff and volunteers are aware of the expectations in the setting’s code of conduct/staff behaviour policy including the use of mobile phones and other photographic equipment. Staff in the setting are guided by [‘Safeguarding children and protecting professionals in early years settings: online safety considerations’.](https://www.gov.uk/government/publications/safeguarding-children-and-protecting-professionals-in-early-years-settings-online-safety-considerations) | The setting’s code of conduct/staff behaviour policy should promote an ethos of transparency within the setting so that staff feel able to positively challenge and support colleagues.  The code of conduct should reference the national [‘Guidance for safer working practice for those working with children and young people in education settings’](https://saferrecruitmentconsortium.org/) which should be provided to all staff. The code of conduct should also include the requirement for staff and volunteers to inform the manager if they believe they may be disqualified under the Childcare Act 2006. |  |  |
| 3.15 | The code of conduct sets out that staff and volunteers should seek medical advice, and speak to the setting’s manager, if they are taking medication which may affect their ability to care for children. | Providers must ensure that staff members only work directly with children if medical advice confirms that the medication is unlikely to impair that staff member’s ability to look after children properly. All medication on the premises must be securely stored, and out of reach of children, at all times. Staff members must not be under the influence of alcohol or any other substance which may affect their ability to care for children. |  |  |
| 3.16 | All staff and volunteers are aware of the setting’s procedures for managing allegations against staff (including third-party staff) and volunteers. | All staff and volunteers should be aware of how to escalate concerns to Children’s Services and the Local Authority Designated Officer (L.A.D.O.). These procedures should link to the setting’s whistle-blowing procedures. Any referral to the LADO in Liverpool should be made by contacting Careline on 0151 233 3700 and on the LADO referral form to [carelinechildrenservices@liverpool.gov.uk](mailto:carelinechildrenservices@liverpool.gov.uk) |  |  |
| 3.17 | The managing allegations against staff and volunteers procedures cover the arrangements for managing allegations against the manager or owner. | In all cases the Local Authority Designated Officer (L.A.D.O.) should be consulted. The Liverpool LADO team can be contacted on 07841 727309 or 07716 702034 or at [LADO@liverpool.gov.uk](mailto:LADO@liverpool.gov.uk) |  |  |
| 3.18 | The setting is aware of the requirement to inform Ofsted of any allegations of serious harm or abuse by any person living, working, or looking after children at the premises (whether the allegations relate to harm or abuse committed on the premises or elsewhere). | 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. |  |  |
| 3.19 | The whistle-blowing policy is readily available to staff and volunteers. | The policy should reference [Government guidance](https://www.gov.uk/whistleblowing); [LCC’s whistle-blowing procedures and contact numbers](https://liverpool.gov.uk/contact-us/complaints-and-feedback/whistleblowing/); the [NSPCC whistle-blowing helpline](https://www.nspcc.org.uk/keeping-children-safe/reporting-abuse/dedicated-helplines/whistleblowing-advice-line/) and Ofsted Helpline 0300 123 1231. Staff and volunteers should be clear as to how to escalate their concerns. |  |  |
| 3.20 | The setting has written procedures for  dealing with concerns and complaints from  parents. The policy includes details of how  parents and/or carers can contact Ofsted  (tel: 0300 123 1231) if they believe the  provider is not meeting the EYFS  requirements. | Providers must keep a written record of any complaints, and their outcome. All providers must investigate written complaints  relating to their fulfilment of the EYFS requirements and notify complainants of the  outcome of the investigation within 28 days of having received the complaint. The  record of complaints must be made available to Ofsted or the relevant childminder  agency on request. |  |  |
| 1. **Other key safeguarding procedures and practices related to the environment and children’s health and well-being** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place**  **Y/N** | **Evidence Provided or *Action Needed*** |
| 4.1 | The setting makes key information available to parents in keeping with the requirements of [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2). | Providers must make the following information available to parents and/or carers:   * how the EYFS is being delivered in the setting, and how parents and/or carers can access more information * the range and type of activities and experiences provided for children, the daily routines of the setting, and how parents and carers can share learning at home * how the setting supports children with special educational needs and disabilities * food and drinks provided for children * the procedure to be followed in the event of a parent and/or carer failing to collect a child at the appointed time, or in the event of a child going missing at, or away from, the setting * staffing in the setting; the name of their child’s key person and their role; and a telephone number for parents and/or carers to contact in an emergency |  |  |
| 4.2 | The setting understands its responsibility to notify Ofsted of key changes set out in paragraph 3.78 and 3.79 of [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2). | Ofsted should be notified as soon as is reasonably practicable, but always within 14 days. A registered provider who, without reasonable excuse, fails to comply with these requirements commits an offence. |  |  |
| 4.3 | The setting gathers and records appropriate information about a child and family before the child begins at the setting. | Records should include:   * Full name of child * Date of birth of child * Name and address of each parent/carer and who has parental responsibility * Parents’ emergency contact details * At least 3 further emergency contacts including a relative, family friend and neighbour * Any medical or health needs * Any special educational needs or disabilities * Any special dietary requirements, preferences or food allergies * Any agencies that the family wish to share they are working with or have previously worked with * Any safeguarding information from a previous setting * Any other information deemed necessary to provide appropriate care for the child, including information about the administration of medicines * The names and contact details of any other adults that the parent gives written consent to collect their child |  |  |
| 4.4 | The setting ensures that children are adequately supervised, including whilst eating, and decides how to deploy staff to ensure children’s needs are met. | Providers must inform parents and/or carers about staff deployment, and, when relevant and practical, aim to involve them in these decisions. Children must usually be within both sight and hearing of staff and always within sight or hearing. |  |  |
| 4.5 | All staff are aware of the procedures to be followed in the event of a parent and/or carer failing to collect a child at the appointed time, or in the event of a child going missing at, or away from, the setting. | These procedures should be communicated to parents. |  |  |
| 4.6 | Visitors are supervised whilst on site. They are required to sign in and wear a visitor’s lanyard. Visitors are provided with key information about safeguarding. | Visitors should be provided with a leaflet containing key safeguarding information including how to report any safeguarding concerns, key expectations including the use of mobile phones and fire evacuation arrangements.  A visitors’ book should record:   * Date of visit * Name of visitor and organisation * Purpose of visit * Time of arrival * Time of departure * Confirmation of receipt of written safeguarding advice |  |  |
| 4.7 | The setting complies with the requirements of all health and safety legislation (including fire safety and hygiene requirements).  The setting undertakes all the required health and safety checks, including weekly fire alarm testing and regular testing of the emergency lighting. | Providers must take reasonable steps to ensure the safety of children, staff and others on the premises in the case of fire or any other emergency, and must have an emergency evacuation procedure. Providers must have appropriate fire detection and control equipment (for example, fire alarms, smoke detectors, fire blankets and/or fire extinguishers) which is in working order. Fire exits must be clearly identifiable, and fire doors must be free of obstruction and easily opened from the inside.  Providers must not allow smoking on the premises when children are present or about to be present. Staff should not vape or use e-cigarettes when children are present and providers should consider Public Health England advice on their use in public places and workplaces  A senior member of staff should check that these expected practices remain in place. |  |  |
| 4.8 | The setting ensures that the premises, including overall floor space and outdoor spaces, are fit for purpose and suitable for the age of children cared for and the activities provided on the premises. | Providers must ensure that their premises, including overall floor space and outdoor spaces, are fit for purpose and suitable for the age of children cared for and the activities provided on the premises. The premises and equipment must be organised in a way that meets the needs of children.  The [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2) sets out indoor space requirements. |  |  |
| 4.9 | Activities and trips are appropriately risk assessed. | A senior member of staff should check that these expected practices remain in place. |  |  |
| 4.10 | Play and other equipment is regularly checked to ensure it remains safe. | A senior member of staff should check that these expected practices remain in place. |  |  |
| 4.11 | The setting has ensured that there is a first aid box accessible at all times with appropriate content for use with children. Records of all accidents are kept and parents/carers are informed, without delay. | Providers must keep a written record of accidents or injuries and first aid treatment. Providers must inform parents and/or carers of any accident or injury sustained by the child on the same day as, or as soon as reasonably practicable after, and of any first aid treatment given. |  |  |
| 4.12 | The setting has procedures in place which clearly state the need to notify Ofsted of any serious accident, illness or injury to, or death of, any child while in their care, and of the action taken. | Notification must be made as soon as is reasonably practicable, but in any event within 14 days of the incident occurring. A registered provider who, without reasonable excuse, fails to comply with this requirement, commits an offence. Providers must notify local child protection agencies of any serious accident or injury to, or the death of, any child while in their care, and must act on any advice from those agencies. |  |  |
| 4.13 | The setting has procedures in place for responding to children who are ill or infectious and takes the necessary steps to prevent the spread of infection or the appropriate action if children are ill. These procedures are shared with parents. | The setting promotes the good health, including oral health, of children attending the setting. |  |  |
| 4.14 | The setting has procedures in place which clearly state the need to notify Ofsted of any food poisoning affecting two or more children cared for on the premises. | Notification must be made as soon as is reasonably practicable, but in any event within 14 days of the incident. A registered provider who, without reasonable excuse, fails to comply with this requirement, commits an offence. |  |  |
| 4.15 | The setting has a policy and procedures for administering medicines. The setting keeps written records each time a medicine is administered to a child and informs the child’s parents and/or carers on the same day, or as soon as reasonably practicable. Medication is always administered, checked and signed for by two members of staff. | There must be systems in place for obtaining information about a child’s needs for medicines, and for keeping this information up-to-date. Training must be provided for staff where the administration of medicine requires medical or technical knowledge. Prescription medicines must not be administered unless they have been prescribed for a child by a doctor, dentist, nurse or pharmacist (medicines containing aspirin should only be given if prescribed by a doctor).  Medication, cleaning materials and other potential hazards remain locked away when not in use by a member of staff.  Medicine (both prescription and non-prescription) must only be administered to a child where written permission for that particular medicine has been obtained from the child’s parent and/or carer.  A senior member of staff should check that expected practice remains in place. |  |  |
| 4.16 | The setting has a behaviour policy and procedures for providing physical intervention, if required. | Providers must not give or threaten corporal punishment to a child and must not use or threaten any punishment which could adversely affect a child's well-being. Providers must take all reasonable steps to ensure that corporal punishment is not given by any person who cares for or is in regular contact with a child, or by any person living or working in the premises where care is provided. Any early years provider who fails to meet these requirements commits an offence. A person will not be deemed to have used corporal punishment (and therefore will not have committed an offence), where physical intervention was taken for the purposes of averting immediate danger of personal injury to any person (including the child) or to manage a child’s behaviour if absolutely necessary. Providers, including childminders, must keep a record of any occasion where physical intervention is used, and parents and/or carers must be informed on the same day, or as soon as reasonably practicable. |  |  |
| 1. **Safer recruitment procedures and practices** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 5.1 | The setting has ensured its recruitment and employment practices are in keeping with the requirements of the Equality Act 2010. | Providers must meet their legal responsibilities under the Equality Act 2010 (for example, the provisions on reasonable adjustments). |  |  |
| 5.2 | The setting has written procedures which set out the selection and recruitment practices. | The procedures relate to all new staff and where appropriate volunteers, students, apprentices, third-party staff, supply staff and those who are trustees, part of the management committee or who are the named proprietor.  The safer recruitment procedures and practices should contribute to a framework that:   * Deters unsuitable prospective applicants at the application stage * Rejects candidates at the interview stage * Prevent and detect inappropriate behaviours through induction, on-going training and developing and maintaining a culture of vigilance |  |  |
| 5.3 | The setting has a recruitment of ex-offenders policy. | The DBS provide a [sample policy on the recruitment of ex-offenders](https://www.gov.uk/government/publications/dbs-sample-policy-on-the-recruitment-of-ex-offenders). |  |  |
| 5.4 | The setting’s safer recruitment and selection procedures aim to deter unsuitable candidates from applying for posts working with children. | The job advert should indicate that the post is subject to Enhanced Disclosure and Barring Checks. The job advert should include the setting’s commitment to safeguarding children and safer working practices. Potential applicants should be informed that the post is exempt from the Rehabilitation of Offenders Act 1974 (amended 2013 and 2020) and that they will be required to make a criminal self-disclosure of any cautions and convictions, if not protected under legislation. They should be signposted to relevant guidance. Applicants should be provided with the setting’s child protection policy and code of conduct and sign-posted to other key safeguarding policies. The job description and person specification should include statements about the safeguarding responsibilities of the post. |  |  |
| 5.5 | The setting’s safer recruitment and selection procedures ensure only suitable people have opportunity to work with children or have regular contact with children. The setting does not allow people, whose suitability has not been checked, including through a criminal records check, to have unsupervised contact with children being cared for. | Providers must have effective systems in place to ensure that practitioners, and any other person who may have regular contact with children (including those living or working on the premises), are suitable. The written safer recruitment and selection procedures should be updated regularly taking account of guidance provided by the [Safer Recruitment Consortium](https://saferrecruitmentconsortium.org/) and guidance contained within [Early Years Foundation Stage Framework](https://www.gov.uk/government/publications/early-years-foundation-stage-framework--2), [Working Together to Safeguard Children](https://www.gov.uk/government/publications/working-together-to-safeguard-children--2) and where relevant [Keeping Children Safe in Education](https://www.gov.uk/government/publications/keeping-children-safe-in-education--2). |  |  |
| 5.6 | The setting undertakes safer recruitment checks and retains evidence of these checks in line with the requirements set out in the [‘Statutory framework for the early years foundation stage’](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/974907/EYFS_framework_-_March_2021.pdf) . Checks are undertaken on all new employees, volunteers, proprietors/trustees/members of the management committee, students, third-parties and apprentices, as appropriate. | Providers must ensure that people looking after children are suitable to fulfil the requirements of their roles. Providers must have effective systems in place to ensure that practitioners, and any other person who may have regular contact with children (including those living or working on the premises), are suitable. Section 3 of [‘Statutory framework for the early years foundation stage’](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/974907/EYFS_framework_-_March_2021.pdf) sets out the safeguarding and welfare requirements.  The setting keeps a record of all the recruitment checks undertaken. The setting should record the date the check was undertaken or the date the certificate was observed. The DBS certificate number should be retained. |  |  |
| 5.7 | The setting’s personnel files retain copies of documents used to verify pre-employment checks and other key information. | Copies should be retained of documents used to verify pre-employment checks including identity, qualifications, right to work in the UK and overseas checks.  Personnel records should also include:   * Name and address of the employee * Emergency contacts for employee * Any disabilities and heath needs |  |  |
| 5.8 | The setting’s safer recruitment procedures refer to the duty, under the Safeguarding Vulnerable Groups Act 2006, to make a referral to the Disclosure and Barring Service where a member of staff is dismissed (or would have been, had the person not left the setting first) because they have harmed a child or put a child at risk of harm. | Guidance can be found on the [gov.uk](https://www.gov.uk/guidance/making-barring-referrals-to-the-dbs) website. |  |  |
| 5.9 | The setting’s code of conduct sets out the requirement that any member of staff or volunteer must inform the manager if they believe they may be disqualified under the Childcare Act 2006 or there is a change in their circumstances which may have an impact upon their suitability to work with children. | Section 3 of [‘Statutory framework for the early years foundation stage’](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/974907/EYFS_framework_-_March_2021.pdf) sets out guidance in respect of ‘Disqualification’.  Staff should be reminded, in writing, annually of the need to inform the setting if their circumstances change or they should make an annual declaration. |  |  |
| 5.10 | The setting’s safer recruitment procedures refer to the requirement to notify Ofsted of any significant event which is likely to affect the suitability of any person who is in regular contact with children on the premises where childcare is provided. The disqualification of an employee could be an instance of a significant event. | The information must be provided to Ofsted or the childminder agency with which they are registered as soon as reasonably practicable, but at the latest within 14 days of the date the provider became aware of the information or ought reasonably to have become aware of it if they had made reasonable enquiries. |  |  |
| 5.11 | The application form provides opportunity to scrutinise the applicant’s education, training and employment history together with the applicant’s understanding and ability to carry out the role. | The application form should request the following information:   1. Details of the applicant including current and former names, current address and national insurance number and/or proof to work in the UK. 2. A statement of any academic and/or vocational qualifications the applicant has obtained that are relevant to the position they are applying for with the details of the awarding body and date of award. 3. A full educational, training and work history in chronological order since leaving secondary education with any gaps explained. 4. Details of two referees. One referee must be the applicant’s current or most recent employer and not family members. 5. An explanation that the post is exempt from the [Rehabilitation of Offenders Act 1974](http://www.legislation.gov.uk/ukpga/1974/53) and that if the applicant is shortlisted all convictions, cautions, reprimands and final warnings, including those regarded as ’spent’ must be declared prior to interview **unless protected** (amendment in 2013 and 2020) 6. A declaration that the person has no convictions, cautions, final warnings or reprimands. Where these exist, details of the offence, including dates, should be provided by shortlisted candidates and will be discussed further at interview. 7. Where the candidate needs to declare any convictions, cautions, reprimands or final warnings they should be advised that they will be asked to provide full details if they are invited for interview and this information will not be requested or considered until this point. 8. A declaration that should they provide false information or omit any material fact they will be liable to dismissal if appointed and possible referral to the police. |  |  |
| 5.12 | References are taken up on all shortlisted applicants so that they can be scrutinised before interview. The setting ensures references are provided by a manager or someone with appropriate seniority at another setting.  Open references (‘to whom it may concern’) are not accepted. | All reference requests should ask for/about:   1. confirmation of details of the applicant’s current/previous post (s) including salary, job title, dates of employment and reason for leaving 2. the referee’s relationship with the candidate, how long they have known them and in what capacity (if the reference is from a current or previous employer it should be from an appropriately senior member of the relevant organisation / headteacher) 3. specific verifiable and relevant comments about the applicant’s performance history and conduct. 4. whether the referee is satisfied that the candidate has the ability and is suitable to undertake the role in question 5. whether the referee is completely satisfied that the candidate is suitable to work with children, and, if not, for specific details of the referee’s concerns. 6. details of any disciplinary procedures the applicant has been subject to in which the sanction is still current. 7. details of any disciplinary procedures the applicant has been subject to which related to the safety and welfare of children, including any in which the disciplinary sanction has expired, and the outcome of those.   References should be carefully checked against the application form for any discrepancies or anomalies. The references should be scrutinised before interview to consider any past behaviours, allegations and differences between the skills, responsibilities and experiences set out by the referee and candidate.  Any omissions and or vague statements should always be followed up with the referee. Notes should be taken of any conversation and added to the personnel file.  Any issues arising can be discussed with the candidate at interview. |  |  |
| 5.13 | The setting is committed to providing references to other employers in the child workforce that meet safer recruitment standards. | The reference provided should always meet the standards set out in the guidance above (a-g). |  |  |
| 5.14 | The setting ensures that all short-listed applicants complete a criminal self-disclosure. | Applicants should be asked the following questions on the self-disclosure form (where the answer is yes they should provide details):  *Do you have any unspent conditional cautions or convictions under the Rehabilitation of Offenders Act 1974?* Yes / No  *Do you have any adult cautions (simple or conditional) or spent convictions that are not protected as defined by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (Amendment) (England and Wales) Order 2020?* Yes / No  *Are you included on the DBS children’s barred list* Yes / No  Applicants should be provided with the following information:  Name of Setting is committed to safeguarding and promoting the welfare of children and we expect all staff to share this commitment. This post is exempt from the Rehabilitation of Offenders Act 1974; pre-employment checks will be carried out, references will be sought and successful candidates will be subject to an enhanced DBS check and other relevant checks with statutory bodies.  We comply with the Disclosure & Barring Service (DBS) code of practice and have a written policy on the recruitment of ex-offenders, both of which are available on request. As you have been shortlisted, you are required to declare any relevant convictions, adult cautions or other matters which may affect your suitability to work with children. As a result of amendments to the Rehabilitation of Offenders Act 1974 (exceptions order 1975) in 2013 and 2020, some minor offences are now protected (filtered) and should not be disclosed to potential employers, and employers cannot take these offences into account.  Please read the information [here](https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974) before answering the following questions. If you are unsure whether you need to disclose criminal information, you should seek legal advice or you may wish to contact Nacro or Unlock for impartial advice. There is more information on filtering and protected offences on the Ministry of Justice website. A flowchart to support you can be found [here.](https://cdn.schoolimprovementliverpool.co.uk/userfiles/files/Schools%20HR_NEW/Flow%20Charts%20-%20Caution%20and%20Conviction%20Nov%202020.pdf)  Nacro - <https://www.nacro.org.uk/criminal-record-support-service/> or email [helpline@nacro.org.uk](mailto:helpline@nacro.org.uk) or phone 0300 123 1999  Unlock - <http://hub.unlock.org.uk/contact/> phone 01634 247350 text 07824 113848 |  |  |
| 5.15 | The setting ensures the interview panel is trained to ask questions to include their attitude and motivation towards working with children and young people and their ability to support the organisation to safeguard and promote the welfare of children. | The panel should agree further questions to ask individual candidates based upon issues raised in their personal statement, references and application form, including any gaps or discrepancies identified. Towards the end of the interview any cautions and convictions etc. declared by the candidate should be discussed. |  |  |
| 5.16 | The setting makes a written conditional offer of employment to the successful candidate, ensuring all the required pre-employment checks are undertaken. | Follow a conditional offer the setting should verify the candidate’s mental and physical fitness to carry out their work responsibilities. A job applicant can be asked relevant questions about disability and health in order to establish whether they have the physical and mental capacity for the specific role. The setting must comply with all legislation including [Section 60 of the Equality Act 2010](https://www.legislation.gov.uk/ukpga/2010/15/section/60).  A final job offer letter should be sent once all the pre-employment checks are completed. |  |  |
| 5.17 | The setting ensures that all staff have sufficient understanding and use of English to ensure the well-being of children in their care. | The setting must be in a position to keep records in English, to liaise with other agencies in English, to summon emergency help, and to understand instructions such as those for the safety of medicines or food hygiene. |  |  |
| 1. **Pre-employment checks** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 6.1 | The setting verifies a prospective employee’s identity by examining original documents. | ID checking guidance can be found on the [gov.uk](https://www.gov.uk/government/publications/identity-proofing-and-verification-of-an-individual) website and [DBS](https://www.gov.uk/government/publications/dbs-identity-checking-guidelines) website.  The setting should retain a record of the date the identity documents were seen and checked. Copies of identity documents should be retained on the employee’s personnel file. |  |  |
| 6.2 | The setting verifies a prospective employee’s right to work in the UK. This is undertaken on all prospective employees. | Guidance can be found on the [gov.uk](https://www.gov.uk/check-job-applicant-right-to-work) website.  The setting should retain a record of the date the of the right to work in the UK check was undertaken. Copies of documents obtained or seen should be retained on the employee’s personnel file. Original documents should always be seen. |  |  |
| 6.3 | The setting verifies a prospective employee’s qualifications by examining original documents/certificates. | The setting should retain a record of the date the qualifications documents were seen and checked. Copies of qualifications should be retained on the employee’s personnel file. |  |  |
| 6.4 | The setting obtains an enhanced DBS certificate with a children’s barred list check on prospective employees and volunteers when required. | Registered providers, other than childminders and childcare on domestic premises, must obtain an enhanced criminal records check in respect of every person aged 16 and over (including for unsupervised volunteers, and supervised volunteers who provide personal care) who:   * works directly with children * lives on the premises on which the childcare is provided (unless there is no access to the part of the premises when and where children are cared for) and/or * works on the premises on which the childcare is provided (unless they do not work on the part of the premises where the childcare takes place, or do not work there at times when children are present) |  |  |
| 6.5 | The setting retains a record of criminal records checks including the reference number, the date a check was obtained and details of who obtained it. | Guidance on handling DBS certificate information can be found on [gov.uk](https://www.gov.uk/government/publications/handling-of-dbs-certificate-information) website. |  |  |
| 6.6 | The setting undertakes additional criminal records check (or checks if more than one country) for anyone who has lived or worked abroad. | Guidance on overseas criminal checks can be found on [gov.uk](https://www.gov.uk/government/publications/criminal-records-checks-for-overseas-applicants) website. |  |  |
| 6.7 | The setting undertakes a risk assessment on all volunteers to determine which safer recruitment checks, similar to those undertaken on employees, are required. | The risk assessment and evidence of safer recruitment checks should be retained in a similar way to employees. |  |  |
| 1. **Training** | | | | |
| **Strand** | **Safeguarding Standard** | **Guidance** | **In Place Y/N** | **Evidence Provided or *Action Needed*** |
| 7.1 | The Designated Safeguarding Officer/Lead has undertaken an initial course for those new to the role and completed statutory refresher training at no later than two-yearly intervals. | Providers should seek advice from [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. |  |  |
| 7.2 | The Deputy Designated Safeguarding Officer/Lead has undertaken an initial course for those new to the role and completed statutory refresher training at no later than two-yearly intervals. | Providers should seek advice from the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. |  |  |
| 7.3 | The setting ensures that a senior manager with oversight of safer recruitment practices has undertaken appropriate safer recruitment training. | Providers should seek advice from the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. In addition, the [Safer Recruitment Consortium](https://saferrecruitmentconsortium.org/) provides advice and a list of accredited safer recruitment trainers. |  |  |
| 7.4 | All staff (including regular third-party staff) and volunteers receive basic safeguarding training in keeping with the requirements of the EYFS framework. This training is updated regularly. Providers train all staff to understand their safeguarding policies and procedures and ensure all staff have up to date knowledge of safeguarding issues. | Staff training should include all groups of staff and volunteers. Staff should undertake training that enables them to identify signs of possible abuse, including female genital mutilation, and neglect at the earliest opportunity and respond to it in a timely and appropriate way. Staff should be familiar with the guidance ‘[What to do if you are worried a child is being abused: Advice for practitioners.](https://www.gov.uk/government/publications/what-to-do-if-youre-worried-a-child-is-being-abused--2)’ The [NSPCC](https://www.nspcc.org.uk/what-is-child-abuse/types-of-abuse/) website also provides useful additional information on abuse and neglect and what to look out for. Staff training should also include the setting’s child protection procedures and key expectations including, the use of mobile phones and other photographic equipment. Training should cover other safeguarding policies, procedures and practices including health and safety, as required. Providers should seek advice from [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements |  |  |
| 7.5 | All staff (including regular third-party staff) and volunteers receive safeguarding induction training so that they are familiar with the setting’s child protection procedures, key policies and practices and expectations. | Induction training must include information about emergency evacuation procedures, safeguarding, child protection and health and safety issues. Providers should seek advice from the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. |  |  |
| 7.6 | The Designated Safeguarding Officer/Lead and other staff have attended multi-agency training opportunities provided by the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance). | Providers should seek advice from the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. |  |  |
| 7.7 | The setting has ensured that at least one member of staff has undertaken early help assessment training and is able to act as the lead professional on an early help assessment, when required. | Providers should seek advice from the [Liverpool Safeguarding Children’s Partnership](https://liverpoolscp.org.uk/scp/training/lscp-practice-guidance) in respect of training requirements. |  |  |
| 7.8 | The setting has ensured that at least one person who has a current paediatric first aid (PFA) certificate is always on the premises and available at all times when children are present, and must accompany children on outings. | Providers are responsible for identifying and selecting a competent training provider to deliver their PFA training. The certificate must be for a full course consistent with the criteria set out in Annex A of [‘Statutory framework for the early years foundation stage’](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/974907/EYFS_framework_-_March_2021.pdf). Providers should take into account the number of children, staff and layout of premises to ensure that a paediatric first aider is able to respond to emergencies quickly. All newly qualified entrants to the early years workforce who have completed a level 2 and/or level 3 qualification on or after 30 June 2016, must also have either a full PFA or an emergency PFA certificate within three months of starting work in order to be included in the required staff:child ratios at level 2 or level 3 in an early years setting. Providers should display (or make available to parents) staff PFA certificates or a list of staff who have a current PFA certificate. |  |  |
| 7.9 | The setting has ensured that all staff who may be involved in the administration of medicine are suitably trained. | Training must be provided for staff where the administration of medicine requires medical or technical knowledge. |  |  |
| 7.10 | The setting has ensured that all staff involved in the preparation and handling of food are suitably trained. | Providers must be confident that those responsible for preparing and handling food are competent to do so. In group provision, all staff involved in preparing and handling food must receive training in food hygiene. |  |  |