



Auditor Name: _____

Designation: _____

Date of Audit: _____

Academy: _____

Tudhoe Learning Trust – Section 11 Audit

Policies and procedures

Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
1 Does the school have a child protection/safeguarding policy , that: <ul style="list-style-type: none"> - Describes procedures in accordance with government guidance - Refers to inter-agency procedures put in place by the local safeguarding children board (LSCB) - Is available publicly via the school website or other means - Is updated annually 					
2 Does the child protection/safeguarding policy clearly set out systems for recording and reporting concerns about a child at all levels?					
3 Does the child protection/safeguarding policy feature clear guidance about the use of mobile technology in school?					
4 Does the school have a staff behaviour policy/code of conduct in place, and does this cover: <ul style="list-style-type: none"> - Acceptable use of technologies - Relationships between staff and pupils 					

	- Communications, including the use of social media?					
5	Does the school have written recruitment and selection policies and procedures in place, and do these cover safer recruitment checks?					
6	Is there a clear approach to implementing the Prevent duty and keeping children safe from the dangers of radicalisation and extremism?					
7	Does the school have policies and procedures in place for ensuring that visitors to the school (e.g. external speakers) are suitable and checked and monitored as appropriate?					
8	Does the school have appropriate whistle-blowing procedures in place, and are these reflected in staff training and staff behaviour policies?					
9	Where the school includes the Early Years Foundation Stage (EYFS), do safeguarding policies feature guidelines specific to that setting and implement the requirements of the statutory framework for the EYFS?					
10	Do leaders of early years settings implement the required policies with regard to the safe use of mobile phones and cameras in settings?					
11	Does the headteacher ensure the school's safeguarding policies and procedures are provided to and followed by all staff, including agency staff and contractors?					
12	Are the school's safeguarding policies reviewed as required?					
13	Are opportunities provided for staff to contribute to and share safeguarding policy and procedures?					

Inter-agency working

Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
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14	Does the school contribute to inter-agency working in line with statutory guidance, Working Together to Safeguard Children ?					
15	Do the school's safeguarding arrangements take into account the policies and procedures of the LSCB, including those concerning the Prevent duty?					
16	Has the school set out clear procedures for sharing information with other professionals and the LSCB?					
17	Are there procedures in place for monitoring the progress of referrals to social services or other agencies, and escalating/requesting reviews of referrals where the response is not satisfactory?					
18	Are any agreed actions following a referral taken promptly to protect the pupil from further harm, and is there evidence of this?					
19	Are there arrangements in place to allow access to the school by children's social care to conduct, or consider whether to conduct, statutory assessments under the Children Act 1989?					

Protecting vulnerable children

Checklist point		Evidence	Action Needed	Timescale	Ownership	Review Date
20	Where a child has been identified as being at risk, is there a written plan in place with clear and agreed procedures to protect him/her?					
21	Where a child is the subject of a child in need plan or child protection plan, or is looked after, does the plan identify the help that he/she should receive and the action to be taken if a professional has further concerns or information to report?					
22	Where there are risks associated with children offending, misusing drugs or alcohol, self-harming, going missing, being vulnerable to radicalisation or being sexually exploited:					

	<ul style="list-style-type: none"> - Are these known by the adults who care for them and shared with the local authority children's social care service or other relevant agency? - Are plans and help in place that are reducing the risk of harm or actual harm, and is there evidence of their impact? - Are risks kept under regular review and is there regular and effective liaison with other agencies where appropriate? 					
23	Do staff and other adults receive regular supervision and support if they are working directly and regularly with children whose safety and welfare are at risk?					
24	<p>For looked after children (LAC), are appropriate staff given the information they need about the following?</p> <ul style="list-style-type: none"> - The child's legal looked-after status - Contact arrangements with birth parents or those with parental responsibility - The child's care arrangements - The levels of authority delegated to the carer by the authority looking after him/her 					
25	Does the designated safeguarding lead (DSL) have details of the child's social worker and the name of the virtual school head at the LA that looks after the child?					
26	Does the DSL work with the virtual school head to discuss how pupil premium funding for LAC can be best used to support the progress and meet the needs of LAC?					
27	Are arrangements in place to ensure that where a staff member becomes aware that a pupil under the age of 16 (or 18 if disabled) may be in a private fostering arrangement, that staff member raises this with the designated senior person for child protection, and the school notifies the LA of the circumstances?					
28	Does the school have procedures in place for dealing with children that go missing from education , to help identify the risk of abuse and neglect and prevent the risks of them going missing in future?					

29	<p>Where a parent notifies the school that a pupil will live at another address, does the school record the following in the admission register?</p> <ul style="list-style-type: none"> - The full name of the parent with whom the pupil will live - The new address - The date from when it is expected the pupil will live at this address 					
30	<p>Where a parent of a pupil notifies the school that the pupil is registered at another school or will be attending a different school in future, does the school record the following in the admission register?</p> <ul style="list-style-type: none"> - The name of the new school - The date on which the pupil first attended or is due to start attending that school 					
31	<p>Does the school inform the LA within five days when a pupil's name is added to the admission register, and provide the LA with all the information held within the admission register about the pupil?</p> <p>(This excludes pupils registered at the start of the school's youngest year, unless the LA asks for this information.)</p>					
32	<p>Does the school inform the LA when a pupil is to be deleted from the admission register, as soon as the ground for deletion is met and no later than the time at which the pupil's name is deleted from the register, and provide the LA with the following information?</p> <ul style="list-style-type: none"> - The full name of the pupil - The full name and address of any parent with whom the pupil lives - At least one telephone number of the parent with whom the pupil lives - The full name and address of the parent with whom the pupil is going to live, and the date the pupil is expected to start living there, if applicable - The name of the pupil's destination school and the pupil's expected start date there, if applicable - The ground under which the pupil's name is to be deleted from the admission register <p>(This excludes pupils who have completed the school's final year, unless the LA asks for this information.)</p>					

33	Where the school is unable to obtain this information, does it highlight this to the LA?					
34	Does the school inform the LA of any pupil who fails to attend school regularly, or who has been absent without the school's permission for a continuous period of 10 school days or more, at intervals agreed with the LA?					
35	Where a pupil leaves to attend another school, does the school send the pupil's common transfer file (CTF) to his/her new school, and where the pupil's destination school is unknown does the school upload his/her CTF to the 'lost pupil database' on the DfE's school2school system?					
36	Does the child protection policy reflect the fact that additional barriers can exist when recognising abuse and neglect among children with special educational needs?					
37	Are there rules in place about taking, storing and publishing photographs of children , including at-risk children, and are staff and parents aware of these?					
38	Has the school assessed the risk of pupils being drawn into terrorism , including support for extremist ideas?					
39	Does the school have procedures in place for protecting children at risk of radicalisation ? (These may be set out in existing safeguarding policies.)					
40	Are appropriate internet filtering and monitoring systems in place, and do these keep pupils safe from terrorist and extremist material while in school?					
41	Do school leaders oversee the safe use of technology by pupils and staff at school and take immediate action if they have any concerns?					
42	Has the school developed whole-school policies and practices for combating bullying , including cyber-bullying and bullying or harassment that is racist, sexist, homophobic or targeted against those with disabilities e.g. relationship education?					
43	Are discriminatory behaviours challenged and help and support given to children about how to treat others with respect?					

44	<p>Does the school have procedures in place relating to peer-on-peer abuse, covering:</p> <ul style="list-style-type: none"> - How to minimise the risk of peer-on-peer abuse - How allegations of such abuse will be investigated and dealt with - The different forms that peer-on-peer abuse can take - The fact that peer abuse should never be tolerated or passed off as 'banter' or 'part of growing up'? 					
45	<p>Does the school's child protection policy cover:</p> <ul style="list-style-type: none"> - Procedures relating to peer-on-peer abuse - The different gender issues that can be prevalent when dealing with peer-on-peer abuse - The school's approach to sexting and up-skirting? - The school's approach to serious violence? 					
46	<p>Are child protection reports and records of disclosures stored securely with the file for the pupil concerned, in a sealed envelope which is clearly marked?</p>					
47	<p>Are child protection records retained until the child leaves the school?</p>					
48	<p>Where children leave the school, does the DSL ensure that their child protection files are transferred to their new school or college as soon as possible, separately from the main pupil file, and that a confirmation of receipt is obtained?</p>					

Pupils' experiences of safeguarding

Checklist point		Evidence	Action Needed	Timescale	Ownership	Review Date
49	Do pupils feel safe and secure?					
50	Are children able to understand, respond to and calculate risk effectively (e.g. risks associated with peer abuse, child sexual exploitation, child criminal exploitation, domestic violence, serious violence, female genital mutilation, forced marriage, substance misuse, gang activity, radicalisation and extremism) and are they aware of the support available to them?					
51	Do pupils who are able to communicate know how to complain and understand the process for doing so?					
52	Do pupils who are unable to share their concerns, such as very young children, form strong attachments to those who care for them through effective implementation of the key person system ?					
53	Do pupils feel that adults at the school listen to them and take their concerns seriously?					
54	Can pupils identify a trusted adult with whom they can communicate about any concerns?					
55	Where pupils are or have been at risk, has the trusted adult been instrumental in helping them to be safe, in accordance with agreed local procedures?					
56	Where pupils communicate something of concern to an adult in school, are they supported, protected and informed appropriately about the action the adult is taking to share their concerns?					
57	Are there systems in place for children to express their views and give feedback about the measures in place to protect them?					

58	Are the child's wishes and feelings always taken into account when determining what action to take and what services to provide in response to a safeguarding concern?					
59	Are pupils taught about safeguarding, including online safety, as part of the curriculum, e.g. through personal, social, health and economic (PSHE) education and/or sex and relationship education (SRE)?					
60	Do pupils know how to keep themselves safe from bullying, homophobic behaviour, racism, sexism and other forms of discrimination?					

Staff roles and training

Checklist point		Evidence	Action Needed	Timescale	Ownership	Review Date
61	Has the school appointed a senior member of staff from the school's leadership team to act as the designated safeguarding lead (DSL), and is this role explicit in the individual's job description?					
62	Are arrangements in place so that there is always a DSL or deputy DSL available during school hours for staff to discuss safeguarding concerns?					
63	Are adequate and appropriate arrangements in place for cover for the DSL role during out-of-hours and out-of-term activities?					
64	Have the DSL and any deputies undergone child protection training , and is this training updated every two years?					
65	Have the DSL and any deputies undertaken Prevent awareness training?					
66	Are the knowledge and skills of the DSL and any deputies updated at regular intervals, but at least annually, to enable them to keep up with any developments relevant to their role?					

67	Is the DSL aware of his/her duties and responsibilities as set out in pages 58-60 of Keeping Children safe in Education?					
68	Has the school appointed a designated teacher to promote the educational achievement of LAC?					
69	Has the designated teacher for LAC had appropriate training?					
70	Have all staff read at least part one of the Department for Education's statutory safeguarding guidance, Keeping Children Safe in Education , and is a record kept of who has read it?					
71	Are teachers aware of the reporting requirements for known cases of female genital mutilation (FGM)?					
72	Do staff receive child protection training that is in line with advice from the LSCB at induction, and does this training include an explanation of the school's safeguarding systems and policies and the role of the DSL?					
73	<p>Do all staff receive appropriate child protection training which is regularly updated, and does this training cover:</p> <ul style="list-style-type: none"> - The signs of abuse (including emotional, physical and sexual) and neglect - The early help process - What to do if you have concerns about a child - What to do if a child is in immediate danger or at risk of harm - What to do if you have concerns about another staff member - What to do if you have concerns about the school's safeguarding practices - The process for making referrals to children's social care and for statutory assessments under the Children Act 1989, and the role they may play in such assessments - How to handle a disclosure by a child, including maintaining an appropriate level of confidentiality and liaising with relevant professionals - Procedures for making written records of concerns, discussions and decisions in relation to safeguarding 					

	<ul style="list-style-type: none"> - Signs and triggers for specific safeguarding issues such as peer-on-peer abuse, drug and alcohol abuse, domestic violence, forced marriage, truanting and sexting - The skills, knowledge and understanding needed to keep LAC safe? 					
74	Do all staff receive safeguarding and child protection updates as required, but at least annually?					
75	Have staff other than the DSL received Prevent awareness training, as deemed appropriate taking into account the school's assessment of the risks posed to pupils?					
76	Do staff know when it is appropriate to make a referral to the Channel programme?					
77	Is training in online safety for staff integrated, aligned and considered as part of the school's overarching safeguarding approach?					
78	Do staff feel confident to challenge senior leaders over any safeguarding concerns?					
79	Has the DSL made links with the LSCB to ensure staff are aware of training opportunities and the latest local policies on safeguarding?					
80	Does the school keep up-to-date records of staff safeguarding training, including levels of training and dates?					
81	Do all staff undergo regular reviews of their safeguarding practice to ensure this improves over time?					
82	Does the school take a proportional, risk-based approach to determining what level of safeguarding information to provide to volunteers ?					

Governor/trustee roles and training

Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
83	Has someone at senior board level (or equivalent) been appointed to take leadership responsibility for the school's safeguarding arrangements?				
84	Do governors/trustees have regard to Keeping Children Safe in Education to ensure that the school's policies, procedures and training are effective and comply with the law?				
85	Has a member of the governing body/trustee been nominated to liaise with the designated officer from the LA and partner agencies when allegations of abuse are made against the headteacher?				
86	Have governors/trustees received up-to-date safeguarding training ?				
87	Do governors receive regular reports on the school's safeguarding arrangements ?				

Safer recruitment

Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
88	In maintained schools, is there always at least one person on any appointment panel who has undertaken up-to-date safer recruitment training ?				
89	Before appointing a new member of staff (including trainee teachers on salaried routes), does the school do the following ? <ul style="list-style-type: none"> - Verify the candidate's identity - Obtain a certificate for an enhanced DBS check with barred list information (for those in regulated activity) or an enhanced DBS check 				

	<p>without barred list information (for those not in regulated activity but who have an opportunity for regular contact with children)</p> <ul style="list-style-type: none"> - Verify the candidate's mental and physical fitness to carry out their work - Verify the candidate's right to work in the UK - Make any further checks it considers appropriate on those who have lived or worked outside the UK, including a check for information about any teacher sanction or restriction that a European Economic Area (EEA) professional regulating authority has imposed - Verify professional qualifications <p>(There is no requirement to obtain an enhanced DBS certificate or carry out checks for events that may have occurred outside the UK if, in the three months prior to their appointment, the applicant has worked in a post in a school or further education college in England that brought him/her regularly into contact with children.</p> <p>However, all other pre-appointment checks must be completed, including a separate barred list check where the individual will be in regulated activity.)</p>					
90	<p>Where the school uses the DBS Update Service to carry out a status check on an individual, does the school:</p> <ul style="list-style-type: none"> - Obtain the individual's consent first - Confirm that the certificate matches the individual's identity - Examine the original certificate to ensure it is for the appropriate workforce and level of check? 					
91	<p>Have all teachers undergone a check to ensure they are not prohibited from teaching?</p>					
92	<p>Does the school ask all candidates for written information about previous employment history and check that information is not contradictory or incomplete?</p>					
93	<p>Does the school seek references for all shortlisted candidates, including internal ones, before interview, and are these requested directly from the referee?</p>					

94	<p>When scrutinising a candidate's references before making an appointment, does the school:</p> <ul style="list-style-type: none"> - Reject open references, for example in the form of 'to whom it may concern' testimonials - Ensure any concerns have been resolved satisfactorily - Ensure specific questions have been answered satisfactorily - Contact the referee for further clarification where necessary - Compare references for consistency with the information provided by the candidate, and take any discrepancies up with the candidate? 					
95	Does the school consider any information about past disciplinary action or allegations carefully when assessing an applicant's suitability?					
96	If a candidate for a teaching post is not currently employed as a teacher, does the school check with the school, college or local authority at which he/she was most recently employed, to confirm details of his/her employment and his/her reasons for leaving?					
97	Where the school allows individuals to start work in regulated activity before their DBS certificates are available, are they adequately supervised, and are all other checks (including a barred list check) completed?					
98	[Independent schools and academies] Have those in management positions, including trustees, undergone a check to ensure they are not prohibited from such a role under section 128 provisions? (Where the individual is in regulated activity, and has undergone a DBS barred list check, a separate section 128 direction check will not be needed.)					
99	Does the school ensure that checks have been carried out on individuals who work in childcare provision or who are directly concerned with its management to ensure they are not disqualified under the Childcare (Disqualification) Regulations 2009 ?					
100	When carrying out childcare disqualification checks, does the school ensure it acts proportionately and minimises, wherever possible, the intrusion into the private lives of staff and members of their household?					

101	Where agency staff are used, does the school obtain written confirmation that the agency/business supplying the staff member has carried out the checks/obtained the DBS certificates that the school would have carried out/obtained had it employed the staff member itself?					
102	Does the school check when an agency staff member arrives for work that he/she is the same person on whom the checks have been carried out?					
103	Where trainee teachers working at the school are fee-funded, does the school obtain written confirmation that the initial teacher training provider has carried out the relevant checks and that the provider has judged the trainee to be suitable to work with children?					
104	Where a member of staff moves from a post that was not in regulated activity into work that is regulated activity, does the school carry out the relevant checks for regulated activity?					
105	Where a teacher is dismissed due to serious misconduct, or might have been dismissed had he/she not left first, does the school consider whether to refer the case to the secretary of state, so that the secretary of state can decide whether to make a prohibition order in respect of the individual?					
106	Have enhanced DBS checks been carried out on all governors/trustees , and do these checks include barred list information for any governors/trustees who are engaging in regulated activity at the school?					
107	[Academies and independent schools] Have identity and right to work checks been carried out on all governors/trustees, as well as any additional checks the school deems necessary for governors who have lived or worked overseas?					
108	[Academies and independent schools] Has the chair of trustees/the governing body ensured that no other trustees/members of the governing body are subject to a section 128 direction that would prevent them from taking part in the management of an independent school or academy?					
109	Does the school obtain enhanced DBS certificates with barred list information for all unsupervised volunteers who teach or look after children regularly, or provide personal care on a one-off basis?					

110	Does the school carry out risk assessments to determine whether it is necessary to obtain enhanced DBS certificates without barred list information for individual volunteers who are not engaging in regulated activity, but who have the opportunity to come into contact with children on a regular basis (e.g. supervised volunteers)?					
111	Where a supervised volunteer is carrying out work that would be regulated activity if it were unsupervised, is the supervision regular, reasonable, and carried out by a person who is in regulated activity?					
112	Does the school ensure that any contractors engaging in regulated activity at the school have undergone an enhanced DBS check with barred list information?					
113	Does the school ensure that any contractors not in regulated activity, but whose work at the school provides them with an opportunity for regular contact with children, have undergone an enhanced DBS check (without barred list information)?					
114	Where the school does not feel that DBS and barred list checks need to be carried out on contractors because they do not have the opportunity for regular contact with children, does the school ensure they are adequately supervised?					
115	Is the identity of contractors and their staff always checked when they arrive at the school?					
116	Does the school consider the need for those supervising children under 16 on work experience placements to undergo enhanced DBS checks with barred list information?					
117	Are policies and procedures in place to keep pupils safe on work experience placements?					
118	Where the school arranges a host family placement for a child under 16, for example as part of a foreign exchange visit, does the school request an enhanced DBS check with barred list information for the adult(s) who will be looking after the child, or check that equivalent checks for the country in question have been undertaken?					

The single central record

	Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
119	Does the school maintain and regularly update a single central record (SCR) , which covers all staff who work at the school and all governors/trustees?					
120	<p>For each member of staff, does the SCR record whether the following checks have been carried out/certificates obtained, and the date each check was completed/certificate was obtained:</p> <ul style="list-style-type: none"> - Identity check - Barred list check - Enhanced DBS check - Prohibition from teaching check - [For those in management positions in an independent school or academy] A section 128 check - Further checks on people living or working outside the UK, including checks for teacher sanctions and restrictions imposed by an EEA regulating authority - Check of professional qualifications - Check to establish the person's right to work in the UK? 					
121	<p>For supply staff, does the SCR record:</p> <ul style="list-style-type: none"> - Whether written confirmation was received that the agency/business employing the staff member has carried out the relevant checks/obtained the relevant certificates - Whether any enhanced DBS certificate has been provided in respect of the member of supply staff - The date the confirmation was received - [Independent schools and non-maintained special schools] The date on which any certificate was obtained? 					

122	Where checks are carried out on volunteers, is this recorded on the SCR?					
123	Does the SCR record who carried out the checks?					
124	Are processes in place for ensuring the SCR is up to date and accurate , and for recording and amending any inaccuracies identified?					
125	Do governors ensure these processes are appropriate and followed correctly?					
126	Where the school chooses to keep copies of DBS certificates, are they destroyed after six months?					
127	Are copies of other documents used to verify a successful candidate's identity , right to work and required qualifications kept on his/her personnel file?					

Handling allegations

Checklist point	Evidence	Action Needed	Timescale	Ownership	Review Date
128	Does the school have procedures in place for reporting and handling concerns about or allegations against staff members (including the headteacher), governors/trustees and volunteers, in accordance with part 4 of Keeping Children safe in Education?				
129	Are all staff aware of this system?				
130	Are procedures in place to inform the designated officer at the LA of all allegations of abuse made against staff?				
131	Are procedures in place to refer allegations against a teacher who is no longer teaching at the school and historical allegations to the police?				

132	Are procedures in place to make a referral to the DBS if a person in regulated activity has been dismissed or removed due to safeguarding concerns, or would have been had he/she not resigned?					
133	Are effective support systems in place for staff against whom allegations are made?					
134	Does the school understand and abide by its confidentiality obligations under the reporting restrictions introduced by the Education Act 2002, and ensure that other parties involved (including parents) also understand and abide by these?					
135	Does the school keep a clear and comprehensive summary of all allegations (except malicious allegations), including how they were resolved, action taken and decisions reached, on the personnel file of the accused, and provide a copy to the accused?					
136	Are records of allegations retained at least until the accused has reached normal pension age, or for a period of 10 years from the date of the allegation if that is longer?					

Behaviour

Checklist point		Evidence	Action Needed	Timescale	Ownership	Review Date
137	Do staff respond with clear boundaries about what is safe and acceptable and seek to understand the triggers for children's behaviour?					
138	Do staff as a team develop effective responses to poor behaviour and review those responses to assess their impact, taking into account the views and experiences of the child or learner?					
139	Do staff promote positive behaviour consistently?					
140	Do staff use effective de-escalation techniques and creative alternative strategies that are specific to the individual needs of children ?					

141	Is reasonable force, including restraint , only used in strict accordance with the legislative framework to protect the child and those around him/her?					
142	Are all incidents involving the use of force reviewed, recorded and monitored and are the views of the child sought and understood?					
143	Is monitoring of the management of behaviour effective, and does the use of any restraint significantly reduce or cease over time?					

Health and safety

Checklist point		Evidence	Action Needed	Timescale	Ownership	Review Date
144	Are appropriate arrangements made with regards to health and safety to protect staff and pupils from harm, so that the setting's premises provide a safe learning environment with secure access?					
145	Has the school carried out a site safety and security audit ?					
146	Are all learning environments, including work placements, fit for purpose and properly planned and evaluated to ensure they meet appropriate standards and pupils' needs?					