

Using the School Safeguarding Audit Tool

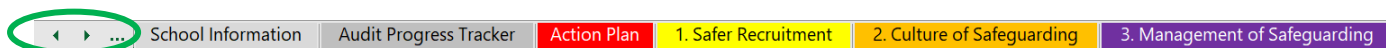
When using the tool please remember.

- Keep the format as it is, please do not change to PDF.
- Leave worksheet formulas.
- Only add lines within the *Action Plan* tab.

Any of these actions may result in the audit tool not functioning properly.

Questions

The audit tool comprises various tabs. Left to right, the first 3, *Introduction*, *School Information*, and *Audit Progress Tracker* are used to provide information to schools, as well as the NYSCP, and allow monitoring of progress as the audit is carried out.



There are 11 sections, with each tab representing a theme and including a *Policy List*. If you cannot see all the tabs, use the arrow buttons on the screen to move the tabs left and right. These can be completed in any order.

Please do not use or alter the black “NYSCP Only” tab.



Grading

Grade each question using the following criteria:

1	2	3	4	5
<p>This line of enquiry is not applicable to the school.</p> <p>There are no safeguarding concerns.</p>	<p>Not in operation.</p> <p>No action plan has been identified to address this at present.</p>	<p>Safeguarding areas for development have been identified and the school aims to create an action plan at senior level to focus on these areas.</p>	<p>Safeguarding areas for development have been identified and the school has an action plan agreed by senior management to focus on these areas.</p>	<p>Safeguarding has been addressed and the school is compliant with statutory requirements.</p> <p>There are no safeguarding concerns.</p>

Using the Tool

To enter the grading use the drop-down by selecting the arrow (see below) or type the grading into the box.

Grading	Evidence
	Recruitment Policy
	governors at Sept
2	
3	
4	
5	

Please note, that option 1 (not applicable) is not available to select in most cases, however can be used when appropriate – for example when a Secondary School is asked questions concerning EYFS.

When completing answers ensure that you provide information to show how your school complies with the audit in the *Evidence* column.

If you want to add a new paragraph in the *Evidence* or *Actions Required* field, please select Alt and Enter for a carriage return.

If you have identified a grade “4” or below, you will need to identify actions, action owners and timescales for each of these requirements (see example below):

Section 1 - Safer Recruitment						
Key Questions	Guidance Notes	Grading	Evidence	Actions Required	Action Owner	Timescale
Are all mandatory pre-employment checks completed for all staff and jobs offered (including governors and proprietors) conditional upon satisfactory completion of such checks?	Including teacher trainees on salaried routes and any self-employed workers in regulated activity. KCSIE Part 3 Safer Recruitment Mandatory checks (*retain evidence on file): 1. Identity* (verification of name (preferably birth certificate), address and DOB) 2. Right to Work in UK* 3. Enhanced DBS incl. children's barred list check (must check original certificate) 4. Standalone children's barred list (if appropriate) 5. Further overseas checks as appropriate for people who have lived overseas (incl. cert. of good conduct/letter of professional standing (teachers)) 6. Prohibition from teaching check (all that fit the definition of 'teaching work') 7. Professional Qualifications (teachers)** (possibly others to meet EYFS statutory framework where applicable) 8. S128 check for all management positions within independent schools (incl. academy individuals prohibited from managing or	3	Mandatory pre-employment checks completed for all staff and jobs (including governors and proprietors) conditional upon satisfactory completion of such checks. Random dis sampling to audit checks carried out by HR manager and DSL. Are the dates checked/certificates obtained for the 7 statutory checks (8 for independent schools incl. academy trusts) are recorded on the SCR for all staff and appropriate evidence retained on file. These are subject to random audit checks carried out every three months SCR is a live record and procedures in place to remove individuals when they leave. New staff are added as recruited. Random checks undertaken to ensure records are up to date. Risk Assessment for volunteers are undertaken to determine if Enhanced DBS and/or other checks are necessary. This information is recorded on SCR as appropriate	New recruits or staff recruited to team and require training. Audit identified some discrepancies in recording practice and team to be reminded of procedures.	HR Manager HR Manager/DSL	Completion by 01/01/2025

Populates *Audit Tracker* tab to produce a count of Actions.

Identified actions can be copied to *Actions* tab.

You can claim a grade of “5” by meeting the baseline requirements outlined in the audit question, and if you believe there are additional measures your school can take, they can be recorded in the *Actions Required* column (as free text) which will, in turn, populate the *Audit Progress Tracker* tab to produce a running total and then a final count of actions.

If you want to add a new paragraph in the *Evidence* or *Actions Required* field, please select Alt and Enter for a carriage return, do not add rows.

As you complete the audit and answer all questions in each section, the audit tracker will change from red to blue.

Progress Tracker	Status		
Section 1 - Safer Recruitment	Section complete		Automatically completed fields - do not edit
Section 2 - Culture of Safeguarding	Section complete		
Section 3 - Management of Safeguarding	Section complete		
Section 4 - Safeguarding Children	Section not complete		
Section 5 - Inclusion	Section complete		
Section 6 - Curriculum	Section complete		
Section 7 - Early Years	Section complete		
Section 8 - Educational Visits	Section complete		
Section 9 - Premises Security	Section complete		
Section 10 - Premises Health and Safety	Section complete		
Policy List	Section complete		Complete all actions
Ready for approval by Headteacher and DSL (if different)?	No		
Number of questions with actions identified for approval and transference to the school development plan	2		Automatically completed field - do not edit

The number of actions is the total number of actions you have recorded on your audit across **all themes/ tabs**.

Step 2	Audit sent to Headteacher and DSL (if different to Headteacher)?	Yes	Complete these fields	Proceed to Step 3
	Date sent to Headteacher and DSL (if different to Headteacher)?	09/12/2024		
	Audit results and actions approved by Headteacher and DSL?	Yes		
	Date Audit Approved by Headteacher and DSL	15/12/2024		

Follow steps 2 to 5 as indicated on the page and complete the appropriate fields. Using drop-down arrows.

The audit must be sent to the governing body for approval PRIOR to being sent to the NYSCP.

Please ensure that you enter the date that the audit was sent to the governing body and date it was approved as shown below:

Step 3	Sent to Governing Body for Ratification?	Yes	Complete these fields	Proceed to step 4
	Date sent to Governing Body for Ratification	16/12/2024		
	Audit Ratified by Governing Body?	Yes		
	Date Audit Ratified by Governing Body	16/01/2025		

The final stage of the audit is to ensure that the actions from the audit are copied to the School Development Plan for monitoring by the Governors. When this has been done, enter the date this was completed. You will see that the bottom box (Step 5) changes from red to blue. This now states the audit is ready for submission to the NYSCP.

Step 5	Ready to submit to the NYSCP (nyscp@northyorks.gov.uk)	Audit ready for submission to NYSCP
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Creating an Action Plan

If you have identified actions, you can manually add them to the Action Plan tab.

Action Plan

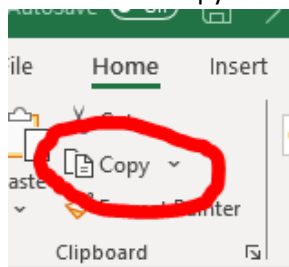
To do this:

1. Click and hold your left mouse button on the first cell you want to copy and then move the mouse to the last cell to highlight the cells to transfer.

Questions left to grade	0	Questions with identified actions: 2	Submission Status	Section complete
Section 1 - Safer Recruitment				
Key Questions	Guidance Notes	Grading	Evidence	Actions Required
1. Have governors/proprietors ensured there are safer recruitment policies in place in accordance with part 3 of Keeping Children Safe in Education (KCSIE) 2024?	e.g. recruitment & selection policy, DBS policy, induction policy, reference policy Regulation 9 of the School Staffing Regulations 2009 KCSIE Part 3 Safer Recruitment	5	Recruitment Policy available on website. Approved by governors at September 2024 LGA Meeting	
2. Do governors/proprietors ensure part 3 of KCSIE (Safer Recruitment) is followed by those involved in recruitment and to ensure one member of any interview panel is Recruitment trained?	KCSIE Part 3 Safer Recruitment	5	Recruitment policy states that at least one member of interview panel is trained in Safer Recruitment. See policy for further information. Training records show which members of staff have current training and which are not trained or need retraining.	Check to ensure that all staff whose Safer recruitment has lapsed still require safer recruitment training and provide timescale for completion HR Manager
Are all mandatory pre-employment checks completed for all staff and jobs offered (including governors and proprietors) conditional upon satisfactory completion of such checks?	including DBS routes and any self-employed regulated activity. KCSIE Part 3 Safer Recruitment Mandatory checks ('retain evidence on file'): 1. Identity # (verification of name (preferably both certificate), address and DOB) 2. Right to Work in UK* 3. Enhanced DBS (incl. children's barred list check (must check original certificate)) 4. Standalone children's barred list (if appropriate) 5. Further overseas checks as appropriate for people who have lived overseas (incl. part of good conduct letter of professional standing (teachers)) 6. Prohibition from teaching check (all that fit the definition of 'teaching work')		Mandatory pre-employment checks completed for all staff and jobs offered (including governors and proprietors) conditional upon satisfactory completion of such checks. Audit identified some discrepancies regarding practice and to be resolved.	New members of staff recruited to team and require training. HR Manager/DSL
Are the dates checked/certificates obtained for the 7 statutory checks (8 for independent schools (incl. academy trusts)) recorded on the Single Central Record (SCR) for all staff and appropriate evidence retained on file?	SCR is a live record and procedures in place to remove individuals when they leave. New staff are added as recruited. Random checks undertaken to ensure records are up to date.		SCR is a live record and procedures in place to remove individuals when they leave. New staff are added as recruited. Random checks undertaken to ensure records are up to date.	
Is the SCR a 'live' record, adding and removing individuals as they join/leave?				
Have you completed a Risk Assessment for volunteers to determine if an Enhanced Disclosure and Barring Service (DBS) and/or				

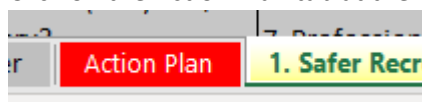
This will turn all but the first cell grey.

- Now click on Copy in the Home Ribbon at the top of the screen

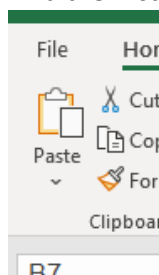


Alternatively, you can press *Ctrl & C* together to copy the information.

- Click on the Action Plan tab at the bottom of the screen



- Find the first clear row on the spreadsheet and click on the Paste button



Alternatively, you can press *Ctrl & V* to paste the information.

Columns and rows can be added to this worksheet so that you can add/remove information relevant to your setting.

Action Plan							
	Key Questions	Guidance Notes	Grading	Evidence	Actions Required	Action Owner	Timescale
1. Safer Recruitment							
2	Do governors/properitors ensure part 3 of ACSB (Safer Recruitment) is followed by those involved in recruitment and at least one member of any interview panel safer recruitment training?	ACSB Part 3 Safer Recruitment	5	Recruitment policy states that at least one member of interview panel is trained in Safer Recruitment. See policy for further information. Training records show which members of staff have current training and which are not trained or need retraining.	Check to ensure that all staff whose safer recruitment has lapsed still require safer recruitment training and provide timescale for completion.	HR Manager	Completion by 01/01/2025
5	Are all mandatory pre-employment checks completed for all staff and jobs offered (including governors and proprietors) conditional upon satisfactory completion of such checks?	Including teacher trainees on salaried routes and any self-employed workers in regulated professions. Mandatory checks (retain evidence on file): 1. Identity (verification of name (preferably birth certificate), address and DOB) 2. Right to Work in UK 3. Enhanced DBS incl. children's barred list check (must check original certificate) 4. Standalone children's barred list (if appropriate) 5. Further overseas checks as appropriate for people who have lived overseas (incl. cert. of good conduct/letter of professional standing (teachers)) 6. Prohibition from teaching check (at least fit the definition of 'teaching work') 7. Professional Qualifications (teachers)? (possibly others to meet EYF's statutory framework where applicable) 8. S128 check for all management positions within independent schools (incl. academy trusts) 9. Medical Fitness		Are the dates checked/certificates obtained for the 7 statutory checks (8 for independent schools incl. academy trusts) are recorded on the SCR for all staff and appropriate evidence retained on file. These are subject to random audit checks carried out every three months. SCR is a live record and procedures in place to remove individuals when they leave. New staff are added as	New members of staff recruited to team and ensure training. Audit identified some discrepancies in recording practice and team to be reminded of procedures.	HR Manager HR Manager/DSL	Completion by 01/01/2025

Submitting the Audit

The audit should now be sent to nyscp@northyorks.gov.uk no later than Friday 28th February 2025.

Please ensure that you enter your school's full title and Department for Education number in the *School Information* section/tab.

This information is vital for us to ensure we link the audit submitted by your school. The DfE number helps ensure that we can differentiate between schools with the same or similar names.

Still Unsure?

If you have any queries, please contact your School Advisor or you can also contact the NYSCP Business Unit.

For our FAQ's [NYSCP School Safeguarding Audit 2024 - 25](#)