

Name of setting:		Date of completion:		
Setting Address:		Setting email:		
		Setting telephone numbers:	Landline:	Mobile:
Opening times		Public Liability Insurance – renewal date (3.63)		
Days / hours				
Number of children accessing 2 year old funding		Number of children accessing 3-4 year old funding		
Number of: Children Looked After		Number of Children with SEN		
Ofsted Registration Number	(Check Ofsted website for latest registration information)	Ofsted Registers	EYR <input type="checkbox"/>	CR <input type="checkbox"/> VR <input type="checkbox"/>
Governance				
VMC	Private/Childminder	Co Limited by guarantee	Governor Led	Charity
		Co Number:		Charity Number:
Other eg CI Co	Manager	Deputy	Chairperson or Owner	
	Name:	Name:	Name:	Address:
			Tel: Email:	
Vice Chairperson	Secretary	Treasurer	Constitution	Named persons
Name:	Name:	Name:	Date of Adoption:	Designated lead practitioner for safeguarding (3.5)
Tel:	Tel:	Tel:	Date of last review:	

Email:	Email:	Email:	Number of Trustees / Committee members required:	Children Looked After (good practice)
			Number of Trustees / Committee - is this met?	Behaviour management (Good Practice)
				SENCO (3.67)
Are all other committee members' contact details on site?				
Are you a member of an organisation? (Pre-School Learning Alliance; National Day Nursery Association; 4Children; Out of School Alliance; PACEY, Morton Michel; other)				

If using this document for a LISEY3 audit (by CCC officers), please use V for evidence collected verbally, and S for evidence that has been seen.

Last Ofsted inspection		
Grade:	Date of inspection:	
Point	✓ or ✗	Comments (V/S)
Were there any actions / recommendations from the setting's last Ofsted inspection?		
Have these been carried out? <i>How is this evidenced?</i>		

Noticeboard or displayed			
Item	Reference	✓ or ✗	Comments (V/S)
No smoking sign? (<i>Must be in a prominent position – visible on entry to premises</i>)	H & S at W Act 1974		
Parents' Noticeboard sign?	Good practice		
Ofsted registration certificate? (<i>Original should be displayed in a prominent position</i>)	EYFS 3.76		
Public liability insurance? (<i>In date? Correct coverage? Changes to hours, health needs, shared building?</i>)	EYFS 3.63 Good practice to display this		
Organisational Structure (<i>names/photos of staff, management/committee</i>)	Good practice EYFS 3.73		
Most recent Ofsted report?	Good practice		
Children Family Information Service (CFIS) contact details?	Good practice		
Notice informing of designated first aider/s?	EYFS 3.25		
First Aid certificate/s displayed or available to parents?			
Name of deputy manager on duty, in manager's absence?	EYFS 3.23		
Name of lead practitioner for safeguarding displayed?	Good practice		

Name of SENCO displayed?	Good practice		
Health & safety poster on premises, or leaflet to each member of staff?	H & S at W Act 1974		
SEND IAS (PP flyer) – 2018	Good practice		

Setting complaints procedure? Complaint forms/record? - <i>Must be obvious.</i> <i>Incl. Ofsted contact details;</i> <i>The National Business Unit</i> <i>Ofsted</i> <i>Piccadilly Gate,</i> <i>Store Street,</i> <i>Manchester</i> <i>M1 2WD</i> <i>Tel: 0300 123 1231</i>	EYFS 3.74 + 3.75		
Ofsted poster (tel: 0300 123 1231) displayed?	EYFS 3.75		

Child Protection – EYFS pages 16 - 17			
Point	Reference	✓ or ✗	Comments (V/S)
Has the lead practitioner attended relevant Child Protection training course? 'Working Together to Safeguard Children' Multi-agency workshop (Safeguarding Intermediate – level 3) (see LSCB training tab)	EYFS 3.5		
Have you got an appropriately trained (level 3 Safeguarding) member of staff available at all times?	ISEYESS Good practice		
Have other staff members completed Safeguarding training? (Online – level 1 minimum, attended level 2 Good practice) Childminders must attend level 2	EYFS 3.6		
Has the lead practitioner provided support, advice and guidance to staff? How? Evidence? Is the information shared with all staff and volunteers on a regular basis? (At least annually)	EYFS 3.5, 3.6 ISEYESS		
'What to do if you're worried a child has been abused: Advice for practitioners' booklet (March 2015) on premises?	EYFS 3.6		
Do your policy and procedures include the Cumbria Safeguarding Hub telephone number: 0333 2401727 and process for contact and referral?	EYFS 3.4 – 3.7		
Does your policy include reference to all the bullet points listed (EYFS) for advice?	EYFS 3.6		
Does your policy include reference and contact details for the LADO (contact form on LSCB website or 0333 240 1727) and does it explain that the LADO is to be contacted within 1 working day in the event of allegations against staff, and Ofsted within 14 days ?	EYFS 3.4 Cumbria LSCB website EYFS 3.8		
Do all of your staff have a copy of and understand procedures for allegations made against staff?	ISEYESS		
Does your policy make reference to the Local Safeguarding Children's Board (LSCB) guidelines (reference only) and website?	EYFS 3.4 – 3.5		
Do you have regard to 'Working Together to Safeguard Children (2018)' in your policy?	EYFS 3.7 Cumbria LSCB website		

Are all staff members and volunteers clear about the settings reporting procedures, and how to make a referral? (<i>Records of referrals?</i>)	EYFS 3.4 - 3.8		
What is your system to log concerns about a child?	EYFS 3.4-5 ISEYESS		
Do you display the flowchart for the referral process and The Wedge from MATG?	EYFS 3.4 Cumbria LSCB website		
Do you display the 'Summary of Allegations Management Procedures' flowchart? (LADO flowchart)	Good practice		
Do your policies and procedures also include: Use of mobile phones; the use of cameras; social media; use of internet; use of IT filters to protect learners?	EYFS 3.4 ISEYESS		
Do you have a Staff Behaviour Procedure/ Staff Code of Conduct/Whistle Blowing Procedure?	ISEYESS		
Have you signed up to receive the Cumbria LSCB newsletters?	ISEYESS		
Have you signed up to receive the Cumbria LSCB policy and procedure update alerts? (see Quick Links on LSCB homepage)	ISEYESS		
Do you have a procedure for following up children's absences? Do all staff know this procedure?	ISEYESS FE Contract		
Do you actively promote equality, diversity and British values?	Cumbria LSCB and Ofsted		
Are you aware of the social context of your local community? Are you alert to children's potential risks from radicalisation and extremism?	Cumbria LSCB and Ofsted		
Do you have regard to the ' <i>Prevent duty guidance for England and Wales 2016</i> '	EYFS 3.7		
Have any staff members had training in Prevent Duty? " <i>Channel General Awareness</i> " training	Ofsted LSCB		
Do staff have an awareness of the signs and symptoms of Female Genital Mutilation (FGM)	EYFS 3.6 note 13		
Have any staff members had Early Help Assessment training?	Good practice		
Are all records being kept for the correct time periods?	EYFS 3.71		

- Reference to 'Inspecting safeguarding in early years, education and skills settings (August 2018) – ISEYESS.

Suitable People – EYFS pages 17 – 20			
Point	Reference	✓ or ✗	Comments (V/S)
EY2s in place for Registered Person (owner, management committee, directors)	EYFS 3.10		
Childminders – have all assistants and persons over 16yrs living or working on the premises got an EY2?			
Are all changes in committees logged with Ofsted? (<i>Telephone, email or EY3</i>)	EYFS 3.77– 3.78		
Have you informed Ofsted of a new manager within 14 days?	EYFS 3.78		
CRB/DBS checks in place for staff, committee, and any other necessary person?	EYFS 3.10, 3.12		

List of staff members and committee CRB /DBS reference numbers, the date of disclosure and who obtained it.	EYFS 3.12		
Do you use a recruitment checklist when recruiting? <ul style="list-style-type: none"> - Comprehensive application form - Full contact details - Emergency contact details - Full Employment history (<i>accounting for any gaps in service</i>) - Proof of ID - Proof of qualifications - Right to work in UK - DBS number - Evidence of home address - Medical suitability - Disclosure of any convictions, cautions, court orders, warnings which affect their suitability to work with children - Record of interviews and questions 	EYFS 3.9 - 3.18 Good practice		
Two written references in place for all staff and staff records kept? (<i>Telephone calls followed up and recorded?</i>)	Good practice		
How do you ensure that your staff members inform the employer (owner/committee) of any convictions, cautions, court orders, reprimands, warnings or which may affect their suitability to work with children during their employment and is this reflected in your policies and procedures?	EYFS 3.11 – 3.18		
Childminders only – are aware of your responsibilities regarding disqualifications by association.	Disqualification under the Childcare Act 2006 (Aug 2018)		
Are you aware of your responsibility under the Safeguarding Vulnerable Groups Act 2006?	EYFS 3.13		
How do staff inform managers if they are taking medication initially and on an ongoing basis?	EYFS 3.19		
If staff are taking medication, do you ensure that they seek medical advice to confirm their ability to look after children?	EYFS 3.19		
Is there appropriate and secure storage for staff medications?	EYFS 3.19		

Staff Qualifications, training, support and skills – EYFS pages 20 - 21			
Point	Reference	✓ or ✗	Comments (V/S)
Do you have induction training and procedures for all new staff/volunteers/students and are these recorded? Including: <ul style="list-style-type: none"> - Roles and responsibilities - Emergency evacuation procedures - Safeguarding - Child Protection - Health and Safety Issues 	EYFS 3.20		

Do you support staff to undertake appropriate training and professional development (<i>courses, internet research, other CPD</i>)? Is all CPD recorded?	EYFS 3.20		
Do you have appropriate arrangements for the supervision of staff who have contact with children and families, and is this recorded?	EYFS 3.21 - 3.22		
How regular do your staff members have supervision?	EYFS 3.21 – 3.22		
What are your arrangements for the supervision of the manager?	EYFS 3.21 – 3.22		
Do you document staff supervision?	Good practice		
Does the manager hold a full and relevant level 3 qualification with 2 years' suitable experience as defined by the <i>Department for Education on the Early Years Qualifications List published on GOV.UK</i> ?	EYFS 3.23		
For children under 2 years have staff received training that specifically addresses the care of babies? What?	EYFS 3.31		
Does the member of staff in charge of the under two's room have suitable experience?	EYFS 3.31		
Does the setting have a named deputy who is capable and qualified to take charge in the manager's absence?	EYFS 3.23		
Is there a regular appraisal system in place for staff? Is this recorded?	Good practice		
Is at least one staff member with a current paediatric first aid certificate on the premises and available at all times? (NB –see footnote 30 – 33, p22 for full details, and Annex A p36 for Criteria for effective PFA training. This must be renewed every 3 years)	EYFS 3.25		
Do staff undertake annual refresher training for Paediatric First aid during any 3yr certification period?	EYFS Annex A p 36 point 7		
Do you ensure all newly qualified L2 or L3 staff have either a full paediatric first aid or an emergency paediatric first aid certificate within 3 months of starting work to be counted staff:child ratios?	EYFS 3.25		
Do you ensure that staff have sufficient understanding and use of English to keep records, to liaise with other agencies, to summon emergency help and to understand instructions for key tasks?	EYFS 3.26		

Key Person / Staff: child ratios – EYFS page 21 - 25			
Point	Reference	✓ or ✗	Comments (V/S)
Has each child been assigned a key person, and is this displayed?	EYFS 3.27		
Do parents know the name of their child's Key Person, and their role?	EYFS 3.73 EYFS 1.10		
Are all key persons aware of their specific roles?	EYFS 1.10		
Do you meet the legal requirements for ratios of adults to children?	EYFS 3.28 – 3.43		

Health			
Medicines – EYFS page 25			
Point	Reference	✓ or ✗	Comments (V/S)
Records kept where medicines are administered by staff?	EYFS 3.46		
Do you record staff training for specific health/medical issues (eg use of epipen)?	EYFS 3.45		
Is written permission requested at the time of the child's admission, to seek any necessary emergency medical advice or treatment in the future?	Good practice		
Is prior written permission for each and every medicine obtained before any medication is given? <i>Do you record the time the previous dose was given?</i>	EYFS 3.45 - 3.46		
Have parents/carers signed the record of entry to acknowledge that the medication has been given?			
Appropriate and safe storage of medicines?	Good practice		
Use of Health Care Plans where needed?			
Is a list of notifiable diseases/illnesses and guidance on infection control kept on site? <i>"Guidance on infection control in schools and other childcare settings can be found at https://www.gov.uk/guidance/notifiable-diseases-and-causative-organisms-how-to-report</i>	EYFS 3.44		

Food & Drink – EYFS page 26			
Point	Referenced	✓ or ✗	Comments (V/S)
Drinking water available and accessible at all times?	EYFS 3.47		
Do you ensure the meals, snacks and drinks that you provide are healthy, balanced and nutritious?	EY 3.47		
Do you have an area which is adequately equipped to provide healthy meals, snacks and drinks?	EYFS 3.48		
Have those handling food have received training in food hygiene?	EYFS 3.48		
Do you notify Ofsted in cases of food poisoning, affecting two or more children? <i>(Within 14 days)</i>	EYFS 3.49		

Accident or Injury – EYFS page 26			
Point	Reference	✓ or ✗	Comments (V/S)
Do you keep a written record of accident or injuries and first aid treatment? Consider confidentiality.	EYFS 3.50		
Are parents/carers informed of accident/injury?	EYFS 3.50		

Do you inform Ofsted in the event of any serious accident, illness or injury to, or death of any child while in your care, and of the action taken, within 14 days ? Do you inform the Safeguarding Hub of such an incident?	EYFS 3.51		
Do you have a first aid box? Are the contents in date?	EYFS 3.50		

Safety and Suitability of Premises, Environment and Equipment

Safety, Smoking and Premises – EYFS pages 27 - 28

Point	Reference	✓ or ✗	Comments (V/S)
Are your premises fit for purpose? (including fire safety and hygiene requirements)	EYFS 3.54		
Security systems in place to prevent intruders?	EYFS 3.62		
Visitor's book in place and in use? (<i>Check ID?</i>)	EYFS 3.62		
Arrival and departure of children is closely supervised?	Good practice		
Does your register show children's arrival and departure times?	EYFS 3.76		
Are all staff hours of attendance recorded?	EYFS 3.76		
Is a daily safety sweep carried out and recorded/initialled?	EYFS 3.64		
Does the setting carry out regular emergency evacuation procedures? (<i>Half termly and when new children are admitted is recommended</i>)	EYFS 3.55		
Are these recorded in a fire log book?	Good practice		
Emergency evacuation procedure displayed in each room? eg fire plan /details	Good practice		
Do you have a smoke detector and fire extinguisher?	EYFS 3.55		
Does the setting have a Fire Safety Risk Assessment in place, and record equipment checks?	Good practice EYFS 3.55		

Risk Assessments and Outings – EYFS page 28 - 29

Point	Reference	✓ or ✗	Comments (V/S)
Can you demonstrate how you are managing risks? (<i>Indoors, outdoors</i>) How do you evidence this?	EYFS 3.64		
Are any written risk assessments reviewed regularly? (<i>At least annually, more if required</i>)	Good practice		
Are all written risk assessments signed and dated by the person carrying out the risk assessments?	Good practice		
Do you assess the risks for outings?	EYFS 3.65		
Do you transport children in your own vehicles?	EYFS 3.66		
Are records kept about vehicles in which children are transported? (Copy of insurance with business use, MOT, copy of driving licence)	EYFS 3.66		

Information and Records – EYFS pages 29 - 30

Point	Reference	✓ or ✗	Comments (V/S)
Are you fulfilling your responsibilities under the GDPR? (General Data Protection Regulation – from 25.5.2018)	EYFS 3.69		

Have you appointed a person to be the lead on Data Protection within your setting?	GDPR		
Is the setting registered with the ICO (Information Commissioners Office)?	EYFS 3.69		
Are you aware of your responsibilities where relevant under the Freedom of information act 2000?	EYFS 3.69		
Are confidential records kept in a suitable secure area? Children? Staff?	EYFS 3.69		
Information about the Child (Registration form) – EYFS page 3.62, 3.72, good practice			
Child's full name	Date of birth	Name and address of every parent/carer known to provider	Name of parent/carer the child normally lives with
Name/s of everybody who has parental responsibility for the child	Emergency contact details for parents and/or carers (<i>names, addresses and tel. nos.</i>)	Names of person/s authorised to collect child	Child's special health requirements
Child's special dietary requirements / allergies (3.47)	Any other allergies	Do you ask for the name of the child's Health Visitor? (for integrated 2 year health checks)	

Information for parents and carers – EYFS page 32 and 33

Point	Reference	✓ or ✗	Comments (V/S)
Do you inform parents and /or carers, how the EYFS is delivered in the setting and how they can access more information?	EYFS 3.73		
Are parents and/or carers informed on the day-to-day activities, experiences, food and drink provided, and routines of the setting?	EYFS 3.73		
Are parent and/or carers made aware of the procedure the setting follows 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?	EYFS 3.73		
Do you provide information for parents on the range and type of activities and the daily routine including how parents can support learning at home?	EYFS 3.73		

Complaints – EYFS page 33

Point	Reference	✓ or ✗	Comments (V/S)
Do you state how individuals can make a complaint?	EYFS 3.74		
Do you have a written record of any complaints and their outcome?	EYFS 3.74		
Does your policy state that providers must notify complainants of the outcome of any written complaints within 28 days?	EYFS 3.74		
Does your procedure state how parents can contact Ofsted?	EYFS 3.75		

Changes that must be notified to Ofsted - EYFS pages - 34 and 35

Point	Reference	✓ or ✗	Comments (V/S)
Do you log all contact with Ofsted?	Good practice		
Do you notify Ofsted of all the relevant changes as listed in bullet points?	EYFS 3.77		

Recommended policies/procedures			
	Referenced in	✓ or ✗	Comments (V/S)
Administering medicines policy and procedure	EYFS 3.44 – 3.46		
Admissions policy	Good practice		
Appraisal / supervision policy	Good practice		
Behaviour management policy	Good practice EYFS 3.52 – 3.53		
Child Protection Policy and Procedures	EYFS 3.4		
Complaints procedure	EYFS 3.74 – 3.75		
Confidentiality and client access to records <i>Including your procedure to meet the requirements of GDPR</i>	EYFS 3.69 Data Protection 1998 & Human Rights Act 1998 GDPR 2018		
Fire safety and emergency evacuation procedure	EYFS 3.55 Regulatory reform (fire safety) order 2005		
Fee paying policy including none payment of fees	Good practice		
Food and drink (Inc. healthy eating, packed lunch guidelines)	EYFS 3.47 and 3.73		
Health & Safety policy and procedure	EYFS 3.55 and 3.54 H & S at Work Act 1974, COSHH 2002 etc.		
Key Person policy (to explain role)	EYFS 1.10, 3.27 + 3.73		
Missing child procedure	EYFS 3.73		
No smoking policy	Good practice		
Partnership with parents/other agencies	Good practice		
Nappy changing/intimate care	Good practice		
Risk Assessment policy	Good practice		
Sick / Infectious illness procedure	EYFS 3.44		
Special Educational Needs	EYFS 3.67 Equality Act 2010		
Staffing, students, volunteers	Good practice		
Transitions policy	Good practice		
Uncollected child policy	EYFS 3.73		
Outings – assess risks	EYFS 3.65		
Are all policies and procedures reviewed at least annually? <i>(More if required)</i>	Good practice		
Do all policies/procedures have a section for the Chairperson/owner to sign and date to show that this has taken place?	Good practice		
Are policies shared with all staff/ volunteers/parents and all committee members? How?	EYFS 3.73		

Self evaluation			
Point:	Reference	✓ or ✗	Comments (V/S)
Is some form of self-reflection in place?	Early Years Inspection Handbook April 2018		
Is an Improvement Plan in place?	Early Years Inspection Handbook April 2018		
Is it regularly updated?	Early Years Inspection Handbook April 2018		
Are management, staff, children and parents all involved	Early Years Inspection Handbook April 2018		

Voluntary Management Committees			
Point	Reference	✓ or ✗	Comments (V/S)
Name of Ofsted nominated person	Ofsted		
Are all members of VMC aware of their roles, responsibilities and liabilities? Are there role descriptions?	Ofsted Good practice		
Are all members of the VMC aware of and understand the EYFS framework and its implementation? (NB – see footnote on p7 for out of school provision)	EYFS 1.1 – 1.12, 2.1 – 2.11, 3.1 – 3.78		
Does the number of committee meetings meet constitutional requirements?	Governance requirement		
Agenda/minutes taken? Treasurer's reports included?	Good practice		
Do you ensure new committee members have fully completed the Ofsted suitable checks (EY2) prior to taking on their role?			
Do you inform Ofsted of changes to your committee / Trustees (EY3)			

Sustainability issues in business planning			
Point	Reference	✓ or ✗	Comments (V/S)
Has the setting had a business health check?			
Are occupancy levels monitored? Healthy?			
Is regular financial forecasting taking place?			
Are your staff receiving the correct levels of pay? (National minimum wage, national living wage, holiday pay) (NB. These change every year – please see www.gov.uk for further guidance)			

Safeguarding and welfare requirement checklist

I/we confirm the information I have completed in the checklist is an accurate and true reflection of the current welfare at our setting:

Signed: **Date:** **Role:**

Signed: **Date:** **Role:**

Signed: **Date:** **Role:**

(If using for LISEY 3 audit by CCC officer/s)

Actions – Who? - When?	Review date/ Achieved?
<ul style="list-style-type: none">• • • • • • • • • • •	