

The Committee



Supporting Trustees in their Roles and
Responsibilities



'Nurturing hearts and minds on a
path of possibilities'

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Please store here: Committee details: EY2/EY3 and DBS correspondence. Ofsted registration Insurance details Charity commission details Latest Ofsted report Setting correspondence i.e. Focused improvement plan	Section 9

This file has been written referring to key documentation:

<https://www.gov.uk/government/publications/the-essential-trustee-what-you-need-to-know-cc3/the-essential-trustee-what-you-need-to-know-what-you-need-to-do#s3>

Preschool learning alliance (2011) Charity essentials

How to use this file

Welcome to what we hope will be a very rewarding and fulfilling journey as a charity trustee. Volunteers are essential to the running and success of our setting and we would like to thank you for investing your time and energy into our charity. This file has been designed to provide clear guidance and offers practical support to ensure a smooth transition into your new roles.

Volunteering has many benefits to all involved;

Families know their children's needs best;

We may be child development experts but you know best of all, your child's and family's needs. Involvement in the management of the setting enables us to work together more cohesively to ensure we are shaping practice together and ultimately meeting the needs of all our children.

Professional Development;

Volunteering is proven to support a range of skills which are transferable into the workplace, enhancing career opportunities. As a trustee you will have access to training opportunities and workplace training. You may be involved in research projects, or audits to identify areas to improve and grow. As a trustee you will be part of a team, working together to make strategic decisions for the setting. Your involvement can be tailored to your interests and skill base offering a wealth of opportunity to enhance your employability and career progression.

Well-being and Self-esteem;

Volunteering allows us to give something back to the community. Recognising our skills and expertise and putting these to use can be hugely rewarding. It is also a wonderful way to meet like-minded people and forge social network links within the local community.

Housekeeping

This file is set out in clear sections for your ease. It offers specific sections to file important documents so all paperwork remains in one place. There are also a range of useful templates to use, as deemed necessary.

It is advised that all trustees read this file as part of their induction.

It will be the role of the current secretary in conjunction with the setting manager to update this file as new early years or business legislation is updated. This will ensure this file remains relevant and as an effective tool for committee use.

An Introduction to Pinvin Community Pre-school

Pinvin Community Pre-school is a committee run, Ofsted registered **(205324)** charity pre-school, established in 1992 and running successfully from Pinvin Memorial Hall at the very heart of the village. Over the years we have grown to meet the needs of our community and now run 5 days a week from 8.00 – 6pm caring for children from 18 months to 4 years old.

At Pinvin we have an established team with a wealth of skills and experience who continually invest time into their own professional development to ensure we give the children and families in our care the very best experience. This is reflected in our ethos;

Our aim is to provide a safe, caring environment which builds every child's confidence and allows them to explore their curiosities and fascinations of the world around them. We value and respect the uniqueness of each child and nurture these individuals by providing enriching opportunities for them to learn and discover. By meeting the individual's needs and interests we are putting the foundations in place for them to become life-long learners and to blossom into creative, independent, confident children with high self-esteem and a sense of belonging and self-belief.

Useful contact numbers	
ACAS West Midlands Victoria Square House, Victoria Square, Birmingham, B2 4AJ.	0300 123 1190 https://www.acas.org.uk/
Charities Commission Brendon House, 35 - 36 Upper High St, Taunton TA1 3PN	Open Monday to Friday, 9am to 4pm 0300 066 9197 https://www.gov.uk/government/organisations/charity-commission
Early years learning Alliance (Insurance provider) 50 Featherstone Street London EC1Y 8RT	0207 697 2500 https://www.eyalliance.org.uk/contact-us/1327 Email: info@eyalliance.org.uk Reference number 3239 Policy RTT209837
Family Front door: Worcestershire Children First	01905 822 666 Out of hours 01905 768 020 https://www.worcestershire.gov.uk/safeguarding-children/
Food Standards Agency	https://ratings.food.gov.uk/
Health and Safety Executive	https://www.hse.gov.uk/
HMRC PT Operations North East England HM Revenue and Customs BX9 1BX United Kingdom	0300 200 3200 https://www.gov.uk/government/organisations/hm-revenue-customs/contact/employer-enquiries
Information Commissioner's Office (ICO)	0303 123 1113 https://ico.org.uk/

<p>LADO</p> <p>For advice and information about allegations against staff and volunteers; the LADO Team can be contacted on Telephone: 01905 846221</p>	<p>Initial contact to be made via the above Duty Number. The Duty LADO can help you with any concerns you have.</p> <p>All statutory partner agencies are required to report all allegations to the LADO within one working day. Referrals should be sent to: LADO@worcschildrenfirst.org.uk</p>
<p>Ofsted Piccadilly Gate Store Street Manchester M1 2WD</p>	<p>0300 123 1231 www.ofsted.gov.uk Email: enquiries@ofsted.gov.uk</p>
<p>Public Health England Public information access office Public Health England Wellington House 133-155 Waterloo Road London SE1 8UG United Kingdom</p>	<p>020 7654 8000</p> <p>https://www.gov.uk/government/organisations/public-health-england</p> <p>Email; enquiries@phe.gov.uk</p>
<p>Safeguarding Worcestershire (safeguarding partners)</p>	<p>Adults Board If you would like safeguarding advice please phone the Adult Safeguarding Team on 01905 843189 (note this number does not accept referrals)</p> <p>Children's Partnership Any professional who has a general enquiry on how to access general support is welcome to contact the Children's Safeguarding Team on 01905 846057</p> <p>https://www.safeguardingworcestershire.org.uk/</p>
<p>Worcestershire Children First Education Services Delivery of cost effective, bespoke education consultancy services and training to early years settings, schools, academies, multi-academy trusts and post-16 providers.</p>	<p>http://www.worcestershire.gov.uk/WCFEducationServices/site/index.php</p> <p>SBarrett@worcschildrenfirst.org.uk : delivering early years provision</p> <p>CShotton@worcschildrenfirst.org.uk : Business support</p> <p>http://www.worcestershire.gov.uk/WCFEducationServices/info/15/early-years-1/78/nursery-education-funding</p>

Section 1: Governance

Charitable Status

Providing childcare through a charity status gives us the unique opportunity to engage parents, carers and members of the community in shaping the childcare provision. The charity structure allows parents and carers to get involved on a strategic level, supporting the management team to provide the very best care and experiences. As a non-profit organisation funds raised through the charity are put straight back into the pre-school through resources or activities, ensuring our children and families benefit from the work that we do.

The Charities Acts provide a legal framework for all charities, including requirements relating to governance, activities and how assets are used and regulated. The Charity Commission is the body that regulates charities and oversees their work.

As a registered charity (**700766**) we must adhere to the regulations stated by the Charity Commission. This includes adopting a governing document which explicitly states the purposes of the charity and the named body that has ultimate responsibility.

Pinvin Community Pre-school adopted the Preschool Learning Alliance Model Constitution (2011) in November 2017 (please see section 6 for a copy of this document). The legal structure of our charity is an '**unincorporated association**'.

Our charitable purpose of Pinvin Community Pre-school is:

'To advance education by supporting and promoting the learning and development of young children.'



CHARITY COMMISSION
FOR ENGLAND AND WALES

<https://www.gov.uk/government/organisations/charity-commission>

The Committee

The overall management and control of the Pre-school rests with the individual members of the Pre-school's management committee ("the Committee"), known as the trustees. The trustee's governance of the charity ensures the assets, employees and activities of the charity are managed effectively to help it achieve its purpose.

The minimum number of Committee members shall be 5 and the maximum shall be 12, together with up to a further 3 co-opted members. (Please see constitution for further clarity). The Committee shall consist of a Chair, a Treasurer and a Secretary ("the Officers"); and not less than 2 nor more than 9 other elected Members.

What is expected of a Trustee?

To ensure your charity is carrying out its purposes for the public benefit

This means you should:

- ensure you understand the charity's purposes as set out in its governing document
- plan what your charity will do, and what you want it to achieve
- be able to explain how all of the charity's activities are intended to further or support its purposes
- understand how the charity benefits the public by carrying out its purposes

To comply with your charity's governing document and the law

You and your co-trustees must:

- make sure that the charity complies with its governing document
- comply with charity law requirements and other laws that apply to your charity

You should take reasonable steps to find out about legal requirements, for example by reading relevant guidance or taking appropriate advice when you need to.

Registered charities must keep their details on the register up to date and ensure they send the right financial and other information to the commission in their annual return or annual update.

Act in your charity's best interests

You must:

- do what you and your co-trustees (and no one else) decide will best enable the charity to carry out its purposes
- with your co-trustees, make balanced and adequately informed decisions, thinking about the long term as well as the short term
- avoid putting yourself in a position where your duty to your charity conflicts with your personal interests or loyalty to any other person or body
- not receive any benefit from the charity unless it's properly authorised and is clearly in the charity's interests; this also includes anyone who is financially connected to you, such as a partner, dependent child or business partner

Manage your charity's resources responsibly

You must act responsibly, reasonably and honestly. This is sometimes called the duty of prudence. Prudence is about exercising sound judgement. You and your co-trustees must:

- make sure the charity's assets are only used to support or carry out its purposes
- not take inappropriate risks with the charity's assets or reputation
- not over-commit the charity
- take special care when investing or borrowing
- comply with any restrictions on spending funds

You and your co-trustees should put appropriate procedures and safeguards in place and take reasonable steps to ensure that these are followed. Otherwise you risk making the charity vulnerable to fraud or theft, or other kinds of abuse, and being in breach of your duty.

Act with reasonable care and skill

As someone responsible for governing a charity, you:

- must use reasonable care and skill, making use of your skills and experience and taking appropriate advice when necessary
- should give enough time, thought and energy to your role, for example by preparing for, attending and actively participating in all trustees' meetings

Ensure your charity is accountable

You and your co-trustees must comply with statutory accounting and reporting requirements. You should also:

- be able to demonstrate that your charity is complying with the law, well run and effective
- ensure appropriate accountability to members, if your charity has a membership separate from the trustees
- ensure accountability within the charity, particularly where you delegate responsibility for particular tasks or decisions to staff or volunteers

Reduce the risk of liability

It's extremely rare, but not impossible, for charity trustees to be held personally liable:

- to their charity, if they cause a financial loss by acting improperly
- to a third party that has a legal claim against the charity which the charity can't meet

Understanding potential liabilities will help you to protect yourself and your charity by taking action to reduce the risk. This includes complying with your duties. It also includes deciding whether your charity should become incorporated (for example as a company or CIO).

Making decisions as a Trustee

Charity trustees make decisions about their charity together, working as a team. Decisions don't usually need to be unanimous as long as the majority of trustees agree. They're usually made at committee meetings.

When you and your co-trustees make decisions about your charity, you must:

- act within your powers
- act in good faith, and only in the interests of your charity
- make sure you are sufficiently informed, taking any advice you need
- take account of all relevant factors you are aware of
- ignore any irrelevant factors
- deal with conflicts of interest and loyalty
- make decisions that are within the range of decisions that a reasonable trustee body could make in the circumstances

You should record how you made more significant decisions in case you need to review or explain them in the future.

Trustee Officer Roles

The Chair	<p>Represents and acts as the spokesperson for the charity and is 'the nominated person' for Ofsted purposes.</p> <p>To set the agenda for meetings in conjunction with the secretary and setting manager.</p> <p>Chairs meetings of the charity including committee meetings and general meetings such as the Annual General Meeting (AGM).</p> <p>Authorised to have second or casting vote if a vote on a trustees' decision is tied.</p> <p>Takes the lead on ensuring that trustees and staff have clear roles and responsibilities to enable them to comply with their duties.</p> <p>Acts as a link between trustees and staff providing support where needed.</p> <p>Line manages the preschool management team on behalf of the trustees to include supporting the appraisal process.</p>
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	<p>To oversee the work of the Treasurer.</p> <p>To ensure the charity is well governed and fulfils its purpose.</p>
The Treasurer	<p>Makes sure the charity keeps proper accounts.</p> <p>Regularly reviews the charity's financial performance.</p> <p>Draws up or reviews policies regarding the finance processes.</p> <p>Ensures that the charity has robust and effective financial controls in place.</p> <p>Liaises with finance staff and with the charity's independent examiner or auditor.</p> <p>Reports on financial matters to the trustees at every committee meeting.</p>
The Secretary	<p>Helps plan and run trustee meetings, liaising with the Preschool management team and chair to plan agenda items.</p> <p>Take comprehensive and accurate minutes during meetings, and sends out to all attendees in a timely manner.</p> <p>Ensures that trustees have the right information to enable them to make informed decisions and fulfil their responsibilities.</p> <p>Oversee recruitment processes of the setting to ensure safer recruitment procedures adhered to.</p> <p>Oversees recruitment of trustees, ensuring an effective induction is completed. In addition, ensuring DBS/EY2 checks are completed in a timely manner.</p> <p>Update charity details on the charity commission website.</p> <p>Represent the committee in regard to safeguarding duties, attending regular meetings with DSL.</p>

Together the charity trustees are the 'registered person' with Ofsted and have overall responsibility for the childcare provision; though the manager will be the person who is in charge of the day-to-day running of the provision.

The trustees **must** fill out a notification form (EY3) whenever there is a change to the individuals on the committee, which informs Ofsted that there has been a change to the 'registered person.'

Roles and responsibilities of other committee members.

The rest of the work is shared between the other committee members. In addition to being jointly responsible for all decision making, members of the committee will arrange for the following work to be done, though they may not do it in person.

- Keeping the whole group informed of the committee's decisions and activities using a notice board, newsletters to parents and carers.
- Administering a waiting list according to the group's admissions policy.
- Fundraising.
- Buying equipment or looking for funding to buy equipment for the group in consultation with staff.
- Ensuring that registration and inspection requirements are met in consultation with staff.
- Arranging the groups insurance and maintaining an inventory – keeping a copy separate from the setting in case of fire.
- Making sure the group is a safe place to be for children and adults – with staff making regular checks on the accident record, conducting risk assessments and ensuring Health and Safety standards are met.
- Making sure policies and procedures are reviewed one a year.
- Recruitment and induction of staff.
- Staff appraisals.
- Representing the setting as and when required.

All trustees have shared responsibility for the day care provision. However, one individual, usually the Chair, will be the 'nominated person', to represent the organisation as the main contact with Ofsted. Ofsted will carry out a number of checks on the suitability of the 'registered person'. These will include an overview; criminal records check and health checks.

When new trustees are appointed the records of the charity must be updated via the government portal:

<https://portal.update-charity-details.service.gov.uk/group/dashboard>

Password: ECFFA2TJ

Who can be a Trustee?

Members must be 18 years old or over. We currently offer two membership options;

Family membership: each family equates to one member and must have a child in the provision. No less than 60% of all committee members should be family members. See clause 5.3 for further clarification.

Affiliate membership open to those interested in the work of the pre-school. No subscription is currently charged for this membership.

You must not act as a trustee if you are disqualified under the Charities Act, unless your disqualification has been waived by the Commission.

Due to the purpose of our charity, Pinvin Community Pre-school needs all members to have a Disclosure and Barring Service check (DBS) and EY2.

Pre-school staff may apply to be a committee member subject to clause 5.8 of the constitution.

Details of how trustee's positions begin and end can be found in the settings constitution.

Conflicts of Interest

A conflict of interest is any situation where your personal interests could, or could appear to, prevent you from making a decision only in the charity's best interests. For example, if you are an employee of the pre-school and salaries are to be discussed, your input could be deemed as a conflict of interest.

Even when you receive no financial benefit, you could have a conflict of loyalty. For example, if your charity has business dealings with your employer, a friend, family member, or another body (such as a local authority or charity) that you serve on.

In these situations, the committee should ensure all trustees have opportunities at every meeting to:

- ✓ identify and declare conflicts of interest (or loyalty)
- ✓ must prevent the conflict of interest (or loyalty) from affecting the decision
- ✓ should record the conflict of interest (or loyalty) and how it was dealt with

Working together

Trustees have independent control over, and legal responsibility for a charity's management and administration. However, this does not mean we expect trustees to become involved in the day to day running of the setting. We require a more strategic input, a balance of constructive challenge and support to ensure the setting is not only meeting its charitable requirements but also those of our other regulatory bodies such as Ofsted and the local authority.

Critical Friend

A critical friend is someone who is encouraging and supportive, but who also provides honest and often candid feedback that may be uncomfortable or difficult to hear. In short, a critical friend is someone who agrees to speak truthfully, but constructively, about weaknesses, problems, and emotionally charged issues. The role of the committee is to collectively hold the Preschool managers to account, to adopt professional curiosity to ensure the provision is fulfilling its goals.

To support this process the pre-school management team, produce a Focused Improvement Plan (FIP). This is a working document which states a number of priorities agreed by the wider team, with clear steps on how to achieve these. As progress is made the document evolves and this gives the committee a clear framework to work from when exploring the progress towards wider ambitions of the setting.

Sample FIP

Priority 1: To provide confident and strong strategic leadership which leads to robust accountability, oversight and assurance for educational and financial performance.

Evidence base:

- DfE Governance handbook identifies the role and responsibilities of the committee in both supporting and holding the management to account.
- Ofsted inspection July 2017 highlighted the need to focus more precisely on the role of committee members in developing highly effective monitoring and staff development systems, in order to help raise the quality of care and teaching to an exceptional level.
- New Ofsted inspection framework September 2019.
- DfE Publication 'Early year's business sustainability'.

Intended outcomes:

1. Ensure we meet statutory requirements whilst developing highly effective monitoring and staff development systems.
2. Ensuring clarity of vision, ethos and strategic direction to all stakeholders.
3. Management have a solid understanding of the financial performance of the organisation, ensuring resources are managed sustainably, effectively and efficiently.
4. Those with oversight or governance understand their role and carry this out effectively. They have a clear vision and strategy and hold senior leaders to account for the quality of care and education.

Actions	Accountable lead	Timeline start/finish	Action/Progress	RAG Rating
Action 1.1 Recruitment and training of new committee members.	Secretary Manager	September to October half term.	Committee newsletter distributed. Dialogue with potential members. AGM booked and advertised for November 20 th 2019.	October half term

Trustees applying for a DBS and EY2

Everyone listed with the Charities Commission as being legally responsible for a charity (all trustee's) are required to complete a declaration and consent form (EY2) and apply for an enhanced criminal records check. The EY2 form asks for a self-declaration of criminal records and other matters that determine suitability to work with or be in contact with children.

A new trustee must apply for an EY2 as soon as they accept the role. However, they cannot be left alone with the children until the DBS comes through and Ofsted have completed their checks. Employee members joining the committee must also complete an EY2.

Applying for an EY2	
1	https://www.gov.uk/guidance/apply-to-join-a-nursery-or-other-daycare-organisation-ey2
2	<p>Apply to join a nursery or other daycare (EY2)</p> <ul style="list-style-type: none">• You will need the following for the application; your personal details, including previous names and where you have lived for the last 5 years• DBS number if you already have one. If you don't have a DBS the system will automatically re-direct you to apply for this, please see below for details.• Specific details of pre-school including the nominated person (see below)• Please note if you are applying as the 'nominated person' you may require further information such as referees, and childcare experience.
3	<p>If you don't already have a government gateway account you can click on 'create sign in details' This will create a new government gateway account personal to you.</p>
4	<p>Complete the questions. Important information;</p> <p>Registered persons unique reference number: RP904829</p> <p>Registered address: 5 Poplar Avenue, Wyre Piddle, Pershore. WR10 2RJ</p> <p>If you are a staff member, answer the question 'will you be working with children as part of the staff: child ratio?' Please state 'no'. This is because you work with the children as part of your employment not your committee role.</p>

On completion of your EY2 you will receive email confirmation, please forward a copy to the committee secretary for safekeeping.

DBS Application

As a trustee you will be required to obtain an enhanced DBS check. This involves a check of an applicant's criminal record against the Police National Computer (PNC) for spent and unspent convictions, cautions, reprimands and final warnings, plus any information held locally by police forces that's considered relevant to the child workforce and post applied for.

If you already hold an enhanced DBS for example, you are an employee of the setting, or work voluntarily with children elsewhere, you may not have to apply for a new one. When completing the EY2 process the system will confirm its suitability. If the DBS is not suitable you will be required to complete a new enhanced DBS.

Application process

Log on to the following website and follow the four steps below.

<https://www.ofsteddbsaplication.co.uk>

Capita Organisation Reference: OFSTEDA



You will need to join the DBS Update Service; this can be done from the point of application for your DBS. If you haven't joined the service 19 days after getting your first certificate, you must get a new one.

<https://www.gov.uk/dbs-update-service>

Updating Information

Ofsted must be informed **within 14 days**.

It is a statutory requirement that Ofsted are informed of any changes to the 'registered person'. This means **any** changes to the committee for example, persons joining or leaving. Failure to inform Ofsted of such changes within 14 days can mean you have breached your statutory requirements, leaving the setting at risk of penalties.

It is vitally important that all sources of information regarding who forms the committee is correct and up to date i.e. information to parents and staff, public information, charity commission and Ofsted.

Completing an EY3

We inform Ofsted of changes to the 'registered person' through the completion of the form 'Notification to Ofsted (form EY3a).

<https://www.gov.uk/government/publications/early-years-and-childcare-providers-ey3-changes-to-individuals>

The form should be completed by the nominated person and emailed to enquiries@ofsted.gov.uk.

Alternatively, the nominated person can contact Ofsted on: **0300 123 1231**.

Ofsted will need to know any changes to names and addresses and any start or leave dates for:

- Everyone making up the organisation 'registered person' whose sole purpose is to provide early years childcare. This includes **ALL** committee members.
- The nominated person who will represent the organisation in its dealings with Ofsted. This person cannot be the appointed manager unless the manager is also a member of the committee.
- Your selected additional contacts

Additional contacts

You can have up to two additional contacts for the setting. One of these can be the manager. Ofsted will not carry out checks on these individuals as this remains the settings responsibility.

Additional contacts can inform Ofsted of minor changes however they cannot discuss legal matters about the registration. This will only be discussed with the nominated person who legally represents the organisation.

Completion of EY3a

To complete the EY3a you will need details of the childcare provider, your details (this should be the nominated person), full name and date of birth of new trustees and those that have left the organisation.

A Details of childcare provider				
Ofsted unique reference number (URN)				
Name of individual or registered provider				
Name of setting				
Address of setting				
Postcode				

B Your details				
Name				
Address (as known to Ofsted)				
Postcode				
Contact number (as known to Ofsted)				
Date of birth (dd/mm/yyyy)				

C New associations				
Please list any people who are new to the organisation.				
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date started	
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date started	
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date started	

D Leavers				
Please list any people who have left the organisation.				
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date left	
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date left	

E New additional contacts				
Please list any people who you wish to be an additional contact.				
Title	First name	Surname	Date of birth (dd/mm/yyyy)	
Position			Date started	
Address				
Postcode				
Telephone number				
Email address				
Title	First name	Surname	Date of birth (dd/mm/yyyy)	

Position		Date started
Address		
Postcode		
Telephone number		
Email address		

I confirm that:

- I have the consent of my appointed additional contacts for Ofsted to hold their details provided on this form for the purpose of day-to-day business, as stated above, on my behalf
- EY2 forms are in progress (where required)
- Ofsted can contact additional contacts on my behalf about general matters. These additional contacts have consented to me sharing their personal information with Ofsted on this form.

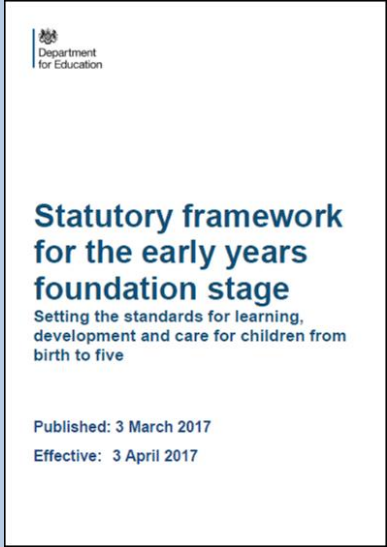
Signed	
Print name	
Date of completion	

Section 2: Childcare Provider Statutory Requirements

Most childcare providers are required to be registered with Ofsted if caring for children under 8 years old. Pinvin Community Pre-school is registered with Ofsted (**registration number: 205324**) on both the Early years and Childcare register part 1 & 2. Registration incurs an annual cost which must be paid promptly.

All registered childcare providers must follow any relevant legislation, including laws about health and safety, disability discrimination, food hygiene, fire and emergency evacuation.

Ofsted is the regulator and inspectorate for all registered childcare providers.

<p>The Early Years Register</p> 	<p>For all providers working with children aged from birth to 5 years</p> <ul style="list-style-type: none"> ✓ The Early Years Foundation Stage (EYFS) was established under the Childcare Act 2006 and is a framework for learning, development and care for children from birth to five. ✓ The framework is mandatory for all Early Years providers in England. From 0 – 60 months. ✓ Promotes a consistent approach to care, learning and development. ✓ Helps practitioners plan care and learning that is right for each child at each stage of their development 	
<p>The Childcare Register</p>	<p>PART 1: Compulsory For providers caring for children from 1st September after the child's fifth birthday up until their eighth birthday.</p>	<p>PART 2: Voluntary For providers caring for children aged 8 and above.</p>

Early Years Statutory Guidance (2017)

The Statutory Framework for the Early Years Foundation Stage (2017) has been given legal force through the Childcare Act 2006.

It is formed of 3 sections;

1. The Safeguarding and Welfare Requirements
2. The Learning and Development Requirements
3. Assessment

Part 1: Safeguarding and Welfare Requirements

The registered person (**the committee**) has overall responsibility for the provision of childcare and is legally responsible for ensuring compliance with the requirements of the Early Years Register and any conditions imposed by Ofsted. Registered persons do not have to work with children or be involved in the day-to-day organisation of the childcare, however must have an awareness of the content of the EYFS.

Most importantly the committee must ensure the person managing the setting has the skills to do so.

The statutory framework states:

Section 3.1 Children learn best when they are healthy, safe and secure, when their individual needs are met, and when they have positive relationships with the adults caring for them.

The safeguarding and welfare requirements are designed to help providers create high quality settings which are welcoming, safe and stimulating, and where children are able to enjoy learning and grow in confidence.

Section 3.2 Providers must take all necessary steps to keep children safe and well.

The requirements in this section explain what early years providers must do to: safeguard children; ensure the suitability of adults who have contact with children;

promote good health; manage behaviour; and maintain records, policies and procedures.

The safety and welfare requirements cover 10 specific areas;

1. Child protection
2. Suitable People
3. Staff qualifications training and support
4. Key person
5. Staff: child ratios
6. Health
7. Special educational needs
8. Managing Behaviour
9. Information and records
10. Safety and suitability of premises, environment and equipment

It is good practice for settings to have their own written policies and procedures covering these subjects in depth. It is the committee's responsibility to approve these policies and procedures and review annually to ensure they are fit for purpose.

As a minimum, providers must have policies, procedures and records which cover;

- ✓ Safeguarding and Protecting children from harm or abuse **(please see section 3 for further details)**
- ✓ Responding to situations where a child goes missing or the parents/carers fail to collect a child
- ✓ Supporting children's medical needs to include procedures for administering medicines
- ✓ Encouraging children to achieve positive behaviours
- ✓ Resolving concerns or complaints
- ✓ Emergency evacuation
- ✓ Promoting equality and diversity to include meeting the needs of children with SEND.

- ✓ Ensuring premises and equipment are safe and secure through effective risk assessment
- ✓ Employee/volunteer records to include DBS and safer recruitment procedures
- ✓ Daily registers
- ✓ Children's records

Written policies and procedures should be available and clearly explained to all families on registration. All employees of the setting including volunteers should have access to these on induction. Employees should also be involved in the reviewing of policies to ensure they are kept informed and the policies and procedure remain fit for purpose.

It is a breach of your requirements to fail to inform Ofsted of significant events such as:

Change of premises: address, facilities, number of children registered for, registered providers contact information, change of hours or any closures.

Change of people: Change of manager, change of name of charity or registration number, change of committee members, any significant event which is likely to affect the suitability of the early year's provider or practitioners.

Change of welfare requirements: outbreak of infectious diseases, serious injuries, allegation against staff members, any serious event that will harm children.





If in doubt call them on: **0300 123 1231**

Or send a message to: <https://contact.ofsted.gov.uk/contact-form>

For more in depth information on the Early Years Statutory Guidance (2017):
https://www.foundationyears.org.uk/files/2017/03/EYFS_STATUTORY_FRAMEWORK_2017.pdf

Part 2: Learning and Development Requirements

There are four overarching principles to the Early Years Foundation Stage (EYFS)

<p>A Unique Child: Every child is a unique child who is constantly learning and can be resilient, capable, confident and self-assured.</p>	<p>Positive Relationships: Children learn to be strong and independent through positive relationships.</p>
	
<p>Enabling Environments: Children learn and develop well in enabling environments, in which their experiences respond to their individual needs and there is a strong partnership between practitioners and parents and carers</p>	<p>Characteristics of Effective Learning: Children develop and learn in different ways</p>
	


Section 1.1 of the Statutory Framework states what providers must do, working in partnership with parents and/or carers, to promote the learning and development of all children in their care, and to ensure they are ready for school.

Early years providers must guide the development of children's capabilities with a view to ensuring that children in their care complete the EYFS ready to benefit fully from the opportunities ahead of them.

The learning and development requirements are informed by the best available evidence on how children learn and reflect the broad range of skills, knowledge and attitudes children need as foundations for good future progress

Section 1.9 states in planning and guiding children's activities, practitioners must reflect on the different ways that children learn and reflect these in their practice. In early years the ways in which children learn are known as the 'Characteristics of Effective Learning' and once identified offer us a window into who the child is and who they may become in the future. The three main characteristics are;




- **playing and exploring** - children investigate and experience things, and 'have a go'
- **active learning** - children concentrate and keep on trying if they encounter difficulties, and enjoy achievements
- **creating and thinking critically** - children have and develop their own ideas, make links between ideas, and develop strategies for doing things

Characteristics of Effective Learning	
	<p>As a three-year-old Summer presented predominantly as:</p> <p>Playing and Exploring</p> <p>Sensory seeking Interested in cooking, baking, play doh Arts and Crafts Messy play – loving outdoors including mud! She was a performer, always dressing up and acting out scenarios with friends. She was a keen dancer and singer and a leader in her play.</p>
	<p>Now aged 14 years old:</p> <p>Summer is a keen actress and singer. She performs regularly as part of her drama group. She is a keen artist with big ambitions.</p> <p><i>Understanding how children learn helps us to tailor learning activities and resources, instigating curiosity and extending children's learning and experiences.</i></p>

7 Areas of Learning

Section 1.3 There are seven areas of learning and development that must shape educational programmes in early year's settings. All areas of learning and development are important and inter-connected. Three areas are particularly crucial for igniting children's curiosity and enthusiasm for learning, and for building their capacity to learn, form relationships and thrive.

These three areas, known as the Prime areas are;

		
Personal, social and emotional development Consisting of; <i>Making relationships</i> <i>Self-confidence and self-awareness</i> <i>Managing feelings and behaviour</i>	Communication and language Consisting of; <i>Listening and attention</i> <i>Understanding</i> <i>Speaking</i>	Physical development Consisting of; <i>Moving and handling</i> <i>Self-care</i>

Providers must also support children in four specific areas, through which the three prime areas are strengthened and applied.

The specific areas are:

			
Literacy	Maths	Understanding the World	Expressive Arts and Design

Part 3: Assessment

Section 2.1 Assessment plays an important part in helping parents, carers and practitioners to recognise children's progress, understand their needs, and to plan activities and support. Ongoing assessment (also known as formative assessment) is an integral part of the learning and development process. It involves practitioners observing children to understand their level of achievement, interests and learning styles, and to then shape learning experiences for each child reflecting those observations. In their interactions with children, practitioners should respond to their own day-to-day observations about children's progress and observations that parents and carers share.

Section 2.3 states all children aged between 2 – 3 years must have a written progress check which summarises the child development in the three prime areas. This is used to identify the child's strengths and to also identify where the child's progress maybe less than expected.

This report is shared with parents who are encouraged to share with other professionals such as their health visitor. If a developmental delay is identified strategies must be put in place to support the child and these shared with parents to support learning at home.

<p><i>Please note providers offering care exclusively before and after school or during the school holidays for children who normally attend reception class or above during the school day, do not need to meet the learning and development requirements.</i></p>

Special Educational Needs and Disabilities

All providers must follow the Special educational needs and disability code of practice: 0 to 25 years: *Statutory guidance for organisations which work with and support children and young people who have special educational needs or disabilities* (Department for Education, 2015). Section 5 of this document explains the action early years providers should take to meet their duties in relation to identifying and supporting all children with special educational needs (SEN), whether or not they have an Education, Health and Care (EHC) plan.

Section 5.4 states: Providers must have arrangements in place to support children with SEN or disabilities. These arrangements should include a clear approach to identifying and responding to SEN. As part of this every setting should have a designated Special Educational Needs Co-ordinator (SENCO) whose role is to ensure all practitioners understand their responsibilities to children with SEN. They act as an advisory for colleagues, ensure parents are closely involved throughout and that their insights inform action taken by the setting. The role also involves partnership working, liaising with professionals or agencies beyond the setting.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/398815/SEND_Code_of_Practice_January_2015.pdf

Meeting Statutory Requirements

Although trustees will employ suitably qualified and experienced practitioners to run the day to day aspects of the setting, as the employer they must ensure all statutory requirements are met. Without working daily in the setting this can be difficult to manage so it is advisable to develop a close working relationship with the setting manager and have clear systems where the meeting of requirements can be evidenced. Such systems are unique to your setting and need to be developed collaboratively, but could include checklists, observation of practice, audits and professional discussion with the team.

The Statutory Framework for the Early Years Foundation Stage (2017) is your go to document and states clearly what you **must do** as an early year's provider.

https://www.foundationyears.org.uk/files/2017/03/EYFS_STATUTORY_FRAMEWORK_2017.pdf

In addition, a self-evaluation form (SEF) is a useful tool in which to identify the successes and areas for improvement of a setting and although Ofsted no longer stipulate how this is completed, it still remains good practice. (Samples can be found in section 6 of this file).

Some things to consider: Safety and Welfare Requirements;

How thorough and effective is your Safeguarding policy, do you revise this, complete safeguarding audits? Is your Designated Safeguarding lead competent? Do all employees have the correct safeguarding qualifications and how do you continue to educate the team on Safeguarding issues and challenges in the wider context i.e. County lines, FGM and Prevent?

How do you ensure the suitability of adults who have contact with children? Can you evidence your safer recruitment processes? Do committee members have sufficient checks? How do you ensure your employees are fit for work? Do you have paediatric first aid trained staff on site at all times?

How do you support the continuous professional development of the team and how does this impact practice? How do you manage the supervision process and support the professional and personal development of your employees to ensure emotional well-being is maintained?

How do you form links with parents and shared settings, involving them in the child's learning? Consider how you gain information from parents when their child registers, how do you know what that child will need? Does every child have a key person and how does this relationship look like in your setting?

How do you keep children safe? Which policies and procedures do you have and how do you know these are fit for purpose? What ratios do you work to and can you evidence how you meet all the children's needs? Do you promote good health in your practice, offering opportunities for healthy snacks and meals? How do you ensure your premises, resources and environment are safe? What records do you keep and why?

Some things to consider: learning and Development Requirements

What is it like for a child in your setting, are they settled, understood, are they ready to learn? How do you support children in self-regulation, do you have clear strategies used by the team, what are these and how do you know they work?

Does your environment offer opportunities for sustained shared thinking, problem solving, and creativity using open ended resources? Are resources accessible and relevant? Are children engaged in their play, do they have time to focus on their play without interruption?

What do quality interactions between practitioners and children look like? Do practitioners sensitively intervene following the child's lead? Is the environment communication rich with opportunities for children to explore and verbalise their thinking? How do practitioners support children's communication skills? Do you observe engaging storytelling and a love for song and rhyme?

Is teaching at least good in your setting and how do you know this? Is the planning system effective ensuring all children make progress? How do you identify children's next steps and is your assessment process effective and accurate? Do you complete two-year checks in conjunction with parents and in a timely manner? How do you identify and support children with SEND?

Can you evidence how the 7 areas of learning are covered in your practice? Do practitioners understand and use the Characteristics of Effective Learning in providing resources and activities for the children? How well do they know the children? Do children have access to outdoor experiences where they can explore the natural world and have access to physical activities?

What is it like for a child in this setting?



Top Tips on how to Achieve as a Committee.

Action: Be strategic, plan ahead through using an annual schedule to ensure statutory requirements are met, delegating jobs across the committee in conjunction with partnership working with the settings employees.

Challenge: Professional challenge and curiosity can be very healthy for practice enabling us to reflect at a deeper level and ensure we are collectively meeting our statutory requirements. Use your voice sensitively to understand better the processes and procedures of practice and explore how we can develop further.

Help: Link with other committees to share good practice and support each other. Help is available through outside agencies who can support in many ways such as professional advice or help with fundraising causes.

Inform: Child development is a subject that continues to evolve as scientific research changes our thinking about practice. There are many documents both statutory and non-statutory to help keep us informed on early years practice. Alternatively, you will find many sources of information such as webinars, websites, literature and forums.

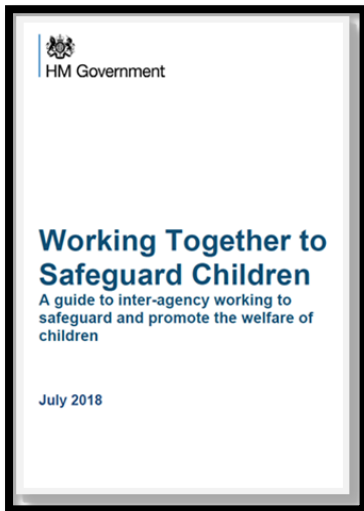
Experience: Every early year's setting is unique dependent on the needs of the children and families and the experiences and knowledge of your team. Spend some time in the setting to get to know what is unique about your setting, speaking with the team, parents, and children.

Voice: Use your voice. Your role as a trustee is to ensure quality provision that meets all the statutory requirements and fulfils your charity purpose. The more you ask questions the quicker you will come to understand the early year's sector and what good and outstanding quality looks like. Equally respect other members and employees voice, to gain wider perspectives on themes discussed.

Evaluate: As we evaluate practice, we need to evaluate the committee's impact to the setting, are we making a difference and how do we know this?

Section 3: Safeguarding and Child Protection

All those providing childcare or working with children including individual members of the 'committee' are required to understand how to safeguard children.



Working Together to Safeguard Children is the key Safeguarding text for **ALL** organisations and agencies who have functions relating to children.

It focuses on the core legal requirements, making it clear what individuals, organisations and agencies must and should do to keep children safe. In doing so, it seeks to emphasise that effective safeguarding is achieved by putting children at the centre of the system and by every individual and agency playing their full part

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/779401/Working_Together_to_Safeguard-Children.pdf

This recently revised document in line with the **Children and Social Work Act (2017)** introduced a requirement for new multi-agency safeguarding arrangements (**MASA**) at local authority level.

Instead of each locality having access to a Local Safeguarding Children Board, the government states each locality must have access to a team of **Safeguarding Partners**, who will work collaboratively to strengthen the child protection and safeguarding system.

In Worcestershire the three safeguarding partners are;

- Chief Executive of Worcestershire County Council
- Chief Constable of West Mercia Police
- Accountable Officer for NHS South Worcestershire, NHS Wyre Forest and NHS Redditch and Bromsgrove Clinical Commissioning Groups (CCGs)

These partners have a shared and equal duty to make arrangements to work together to safeguard and promote the welfare of all children in the local area.

Legally the partnership only needs consist of the three partners however Worcestershire have committed to widening their sector to include education (including early years) and will be known as the **Worcestershire Safeguarding Children Partnership (WSCP)**.

WSCP replaces the Worcestershire Safeguarding Children Board (WSCB), however guidance produced by WSCB remains valid and should be followed by professionals.

Definitions

In relation to children and young people, safeguarding and promoting their welfare is defined in 'Working together to safeguard children' as:

- Protecting children from maltreatment
- Preventing impairment of children's health or development
- Ensuring that children grow up in circumstances consistent with the provision of safe and effective care
- Taking action to enable all children to have the best outcomes.

Child protection is part of the safeguarding process. It focuses on protecting individual children identified as suffering or likely to suffer significant harm. This includes child protection procedures which detail how to respond to concerns about a child.

Responsibilities

The Statutory Framework for the Early Years Foundation Stage (2017) states:

3.4. Providers must be alert to any issues of concern in the child's life at home or elsewhere. Providers must have and implement a policy, and procedures, to safeguard children. These should be in line with the guidance and procedures of the relevant Local Safeguarding Children Board (*Please note this has recently been replaced by Safeguarding Partners*). The safeguarding policy and procedures must include an explanation of the action to be taken when there are safeguarding concerns about a child and in the event of an allegation being made against a member of staff. It should also cover the use of mobile phones and cameras in the setting.

3.5. A practitioner must be designated to take lead responsibility for safeguarding children in every setting. The lead practitioner is responsible for liaison with local statutory children's services agencies, and with the WSCP. They must provide support, advice and guidance to any other staff on an ongoing basis, and on any specific safeguarding issue as required. The lead practitioner must attend a Child Protection training course that enables them to identify, understand and respond appropriately to signs of possible abuse and neglect.

3.6. Providers must train **all staff** to understand their safeguarding policy and procedures, and ensure that **all staff** have up to date knowledge of safeguarding issues. Training made available by the provider must enable staff to identify signs of possible abuse and neglect at the earliest opportunity, and to respond in a timely and appropriate way.

Safeguarding partners recommend this is updated 3 yearly and safeguarding knowledge is built upon regularly. This can be through in-house or external training, keeping self-informed through literature or relevant media and/or attending safeguarding forums run through the local authority. Safeguarding partners also suggest it is good practice for a member of the committee to be appointed as a lead role in safeguarding and be trained to DSL level. DSL training should be updated every two years.

Creating a Safeguarding Culture

The local authority has designed a comprehensive 'Safeguarding and Child protection guidance, 2019 (Yellow Folder) written in conjunction with the WSCP. It is strongly advised that this folder is accessible at all times for both employees and committee members to refer to.

This folder considers all aspects of creating a safeguarding culture and forms the basis of the settings Safeguarding and Child Protection policy.

The Safeguarding and Child Protection Guidance (Yellow Folder) September 2019 consists of the following sections for ease of use.

Section 1:	The Legislative Framework to include Prevent and the promotion of British values, Regulation and inspection
Section 2:	Safeguarding and Child Protection 'Roles and Responsibilities'
Section 3:	Recognising Abuse and Neglect, responding to concerns, and record keeping.
Section 4:	Building a Safer Workforce
Section 5:	Safeguarding Training
<p>This document can be found at http://www.worcestershire.gov.uk/WCFEducationServices/site/index.php</p>	

A Changing Landscape

As safeguarding themes evolve, we must remain extra vigilant in order to meet our statutory duties in identifying, helping and managing safeguarding concerns.

With dangers of the internet now realised and the current trend of criminal exploitation of children through County Lines we need to ensure we keep ourselves informed and aware to potential dangers.

Other key texts that all employees and trustees need to have regard to are;

- What to do if you're worried a child is being abused: Advice for practitioners
March

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/419604/What_to_do_if_you_re_worried_a_child_is_being_abused.pdf

- Revised Prevent duty guidance: for England and Wales (Updated 10 April 2019)

<https://www.gov.uk/government/publications/prevent-duty-guidance/revised-prevent-duty-guidance-for-england-and-wales>

In addition, the Regional Child Protection procedures for West Midlands provide a website containing a wealth of information.

<https://westmidlands.procedures.org.uk/>

Get Safe Campaign

Get Safe is the Worcestershire name for the multi-agency support and protection for children and young people at risk of Criminal Exploitation.

This Worcestershire partnership includes: West Mercia Police, Children's services, Health, Education, Youth Justice, Early help services and the voluntary sector. By working together with other agencies and existing forums within Worcestershire, they can ensure a joined-up approach to tackle criminal exploitation.

The **Get Safe** Partnership is committed to tackling Child Exploitation and supporting victims and their families who experience this.

Get Safe stands for

Gangs

Sexual Exploitation

Trafficking

Modern Day Slavery

Absent or Missing

Forced Marriage

Criminal Exploitation



Worcestershire Children First

Worcestershire Children First is the company responsible for delivering children's services across the county of Worcestershire. These services include children's social care, education, early help and fostering. The company is 100% owned by Worcestershire County Council and delivers its children's services on behalf of the local authority working with partners across the county to ensure children, young people and families receive the best possible service.

Worcestershire Children First was formed in 2020 issuing a clear message;

Our Vision: Worcestershire to be a wonderful place for all children and young people to grow up.

Our Mission: Supporting children and young people to be happy, healthy and safe.

Our Values: Children at our heart, Value family life, Good education for all, Protection from harm.

Early Help

If families are experiencing difficulties or are worried about their children, there are people who can offer help and support. Difficulties could be for example: mental health problems, domestic abuse at home, drug or alcohol dependency, children starting school, struggling as a lone parent, debt problems or housing problems.

Early help means providing support as soon as a problem appears, to stop it from getting worse. This could be at any point in a child's life, from birth to the teenage years.

Early help offers advice and guidance to help support the family. If they need more help than their usual support network, for example their health visitor, child's school, doctor or Children's Centre, the family support process can help.

Anyone can provide early help – you don't need to be an expert professional. Early help is not about passing the issue on to an expert, but thinking about what is the best support you can offer. You can provide effective support by:

- listening
- working with other people who could help
- finding out about specialist agencies who could help
- filling out an **Early Help Assessment** with the person you are helping
- contacting Children's Social Care if you think the problem is more serious

It is not compulsory to use the Early Help Assessment but if at a later date you wish to refer the child or young person onto statutory services, there will be an expectation that you have completed this form.

<https://www.worcestershire.gov.uk/eha>

Levels of Need

Under the new requirements of Working Together to Safeguard Children (2018) a threshold document must be published to support and assist professionals in decision making, regarding how to best respond to the needs of children, young people and families. The document we use is the Multi Agency Levels of Need Guidance (2019), which identifies four distinct levels of need. The document recognises that every child and family are unique but provides a guidance to support professional judgement.

Level 1: Coping with life - No extra support required.

Level 2: May need some extra help (through universal services).

Level 3: May need further help through multi-agency targeted support.

Level 4: In need of serious help through children's social care.

https://www.worcestershire.gov.uk/downloads/file/7962/levels_of_need_guidance_formerly_threshold_guidance

Making a Referral

To refer to Early Help: Levels 2 to 3 of the Multi Agency Levels of Need Guidance (2019)

Firstly, you will need consent from the child or family.

Complete a request for support form through Worcestershire Children First website:

https://capublic.worcestershire.gov.uk/RequestForServiceForm/Home.aspx?_ga=2.51850857.1932706875.1577783428-240759265.1570452692

When making the request you will need to have available personal details of the family including dates of birth, addresses etc. In your referral you will need to state clearly;

- What you are worried or concerned about?
- What is working well?
- What needs to happen?
- What help or support are you hoping for from Early Help Family Support?

This request for support can be completed by;

- Professionals requesting support for families who meet level two and three of the levels of need guidance and there is an identified need that requires support from a Family Support Worker
- Parents and carers who can refer themselves for support from early help services
- Young people aged 13 years and above who can refer themselves for support from early help services

Family Front Door

Children's Social Care respond to levels of need identified at level 4 of the Multi Agency Levels of Need Guidance (2019). In Worcestershire, Children's Social Care is called Family Front Door.

A child at immediate risk

If you believe that a child or young person is at immediate risk from harm contact the **Police on 999**.

If you want to refer a child or young person to Children's social care **in an emergency** please contact the **Family Front Door 01905 822666/768020**.

A child not at immediate risk

Complete the 'Referral to Children's Social Care' online form, which can be accessed via the Professionals Portal.

<https://capublic.worcestershire.gov.uk/FamilyDoorPortal/>

If you have a professional portal account you are able to complete referral forms and save your progress as you go along. This means you can come back later to complete your work.

Please see the safeguarding Designated Senior Lead to access this.

Support

The Community Social Work Team supports professionals by offering telephone consultations regarding advice and guidance on the Worcestershire Safeguarding Children Board (WSCB) Levels of Need Guidance and its application. The team will also signpost agencies to services that can help support a family. You can book consultations through the Family Front Door Professional Portal.

https://capublic.worcestershire.gov.uk/FamilyDoorPortal/?_ga=2.81123543.1932706875.1577783428-240759265.1570452692

Safer recruitment

It is the registered provider's responsibility to ensure that people looking after (and coming into contact with) children in their setting are suitable to fulfil this role. It is therefore recommended that those involved in the recruitment of staff have completed Safer Recruitment training. Please read the settings 'Suitable People' policy.

Duties of the provider in regard to safer recruitment

It is the registered person's (the committee) responsibility to ensure robust recruitment policies and procedures are in place. This must include the settings vetting procedures, including the checking of references. It also includes ensuring employees are aware of their duty to inform of any convictions, cautions or court orders or reprimands and warnings which may affect their suitability to work with children.

Information should be accurately recorded in regards to staff qualifications and the vetting processes. Although it is not necessary to keep copies of DBS certificates, the certificate number, the date it was obtained and by whom must be documented as well as information on identification checks made.

Induction training should be thorough and available to all employees and volunteers. This should include a detailed understanding of the settings Safeguarding and Child Protection policies and procedures. All employees and volunteers **must** be able to define and identify possible signs of harm, abuse and neglect, understand how to act on concerns, know the identification and role of the DSL, and understand the actions to take if concerned about the behaviour or conduct of another adult. They should also fully understand their responsibilities in regards to the use of mobile phones and technology. These are the minimum requirements required of an induction and great care should be taken to ensure the induction process is as effective as possible.

Supervision should be prioritised and offer opportunities for support, coaching and training for all staff, encouraging confidential discussion of sensitive issues.

However, discussion should not be limited to this time, open communication should be promoted regarding any safeguarding concerns and a Whistleblowing Policy in place to reassure employees that if concerns about a colleague were not acted on appropriately, they can report this to higher levels without fear of repercussion.

Recruitment checklist

The Suitable persons policy gives detailed instruction on the safer recruitment procedures we **must** always follow, in order to meet our statutory safeguarding and child protection duties. This must be referred to when recruiting employees, students, volunteers and trustee members. The table below highlights the different stages that will need consideration.

Recruitment needs	Have you evaluated your current staffing needs, are there any gaps in provision that need filling?
Job Description	Develop a clear job and person specification, this will help to attract the right kind of candidates to fit within your current team.
Advertise	Advertise across a number of platforms and include information about your setting and what makes you unique.
Selection criteria	Develop a selection criteria document based upon the job description and person specification. This will help you be more strategic in how you identify strong applicants that meet your needs.
Application form	Design an application form that will capture information about the candidate, what makes them unique, what are their experiences, passions, thoughts on early years practice?
Interview	The interview process is an opportunity to get to know the candidate, however it is also important to gauge the children and staff's reaction to them, so why not task them with a supervised activity with the children? This allows them to recognise if this is a setting, they would like to work at but also for you to see how they interact with others. During the actual interview, think carefully about the questions you want to ask to get the most out of this process.

Pre-appointment checks	It is of vital importance to gain up to date references and prove their eligibility to work in the UK. All references should be supported with a telephone conversation to prove the source of the information.
Check qualifications	Gain physical sight of all qualifications and ensure these meet the Statutory Framework.
DBS checks	DBS checks must be received before the successful candidate starts their employment with you.

DBS Checks

Every employee requires an enhanced with barred list check' criminal records check (DBS). During an Ofsted inspection, inspectors will review the provider's records to check that the required checks have been completed. Our records are kept on a 'single central record' managed by the Designated Safeguarding Lead (DSL).

Starting employment without a DBS maybe possible in exceptional circumstances i.e. when to wait for the DBS check might disrupt the care of children, however this may only happen when the DBS check has been applied for, if an application has not been made, the person may **not** start work.

Any unchecked person must **never** be left unsupervised with children, and all children must always be within sight and hearing of a checked person.

Where an employer has used an existing DBS check, inspectors will look at how the organisation has used the DBS guidance on assessing the risk. In particular, inspectors will check that the employer has:

- ✓ Applied for a new enhanced DBS check, even if they are letting the person start work using an existing check
- ✓ Noticed any unexplained gaps in a person's employment and if this is the case, that they have not let the person start work until they have their own DBS check. (Employers should not use an existing DBS check if there has been a break of more than three months in service)

- ✓ Checked the details on the existing DBS check using forms of identity for the person concerned, for example, they have cross-referenced address and date of birth details from other identity documents
- ✓ Seen the original DBS certificate, and tried to contact the person who requested the original check, to confirm if any other information was released through a separate letter. (If other information was released, the employer must not let the person start work until they have a new DBS check.)
- ✓ Only accepted an existing DBS check if it is at the right level, for example they have not accepted a standard check if an enhanced check is needed
- ✓ Not accepted an existing DBS check that is too old. (A DBS check does not last for an agreed length of time, but it is best to expect that the certificate must have been issued within 3 months if it is not on the update service)
- ✓ Made sure that the person does not have unsupervised access to children, until the new DBS check can confirm the person's suitability.

The DBS update service lets applicants keep their DBS certificates up to date online and allows employers to check a certificate online. There is a small annual cost and it is good practice to request all new employees subscribe to this service.

Guidance taken from the Ofsted document: Disclosure and Barring Service (DBS) checks for childcare providers who register with Ofsted (2017)

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/651273/Disclosure_and_Barring_Service_DBs_checks_for_childcare_providers_who_register_with_Ofsted.pdf

Applying for an Employees DBS checks

For employees DBS checks we use the following company.



<https://www.securitywatchdog.org.uk/dbs-application-guide>

The candidate will be given the organisation log in details by the primary applicant manager (these are generic for all your applicants), in order for them to start their application.

The candidate should complete their application form which is a simple 5 step process;

Step 1: About you

Please enter your personal details. Enter your full first name (as shown in your Birth Certificate, Passport or Driving Licence), do not use abbreviations or just initials, e.g. Reg White or R White. If you have a middle name(s) ensure that you enter the details.

Please also ensure that you enter your NI Number.

Once you have completed this section click 'Next'.

Step 2: Address History

Please enter your current address. If you haven't lived at this property for more than five years click on the 'Add Address' button to add any additional addresses. You can edit dates by clicking on the 'Edit' button.

Address Dates

There cannot be any gaps/overlaps in your address history. Please make sure that the month and year of each address follows that of the previous address, e.g. if you moved house in January 2010 ensure that this date is repeated as your last date at your previous address and also the first date that you moved into your new address.

Postcode

If you can't remember your postcode use the Royal Mail UK Postcode Finder.

Foreign Addresses

If you cannot supply the address for a foreign country then please enter 'No fixed abode' for Address Line 1 and Town.

Once you have completed this section click 'Next'.

Step 3: Additional Information

Place of Birth

Please enter details for your place of birth and add any additional surnames used.

Changed Surname

If you have changed your surname please provide your birth surname and the year you changed it.

Other names

Please provide details of any other names used at any time during your lifetime and the dates during which the names were used. Please enter each full forename, middle name(s) and surname separately using the 'Add Name' button below.

Once you have completed this section click 'Next'.

Section 4: Conviction History

If you have never committed a criminal offence then please select 'no'.

If you have an 'unspent' conviction then please select 'yes'. An 'unspent' conviction is any conviction that is still held on your criminal record.

If your conviction has been 'spent' (e.g. you committed a minor offence sometime ago that has since been removed from your record) you do not have to answer 'yes'.

For more information see Rehabilitation of Offenders Act 1974 at:

<http://www.legislation.gov.uk/ukpga/1974/53>

This will give you guidance as to whether your conviction is 'unspent' or 'spent'.

Once you have completed this section click 'Next'.

Section 5: Confirmation and Consent

Now read through your application to ensure that there are no omissions/errors before you submit your application. If you wish to edit a section of your application click on 'edit' next to the section of the form that requires changes.

At the end of the application please make sure that you complete the Applicant Consent section.

By completing the form, you will be consenting to the transfer of your information to the Disclosure and Barring Service for the purpose of a Disclosure Application.

You will be required to confirm that the information that you have provided in support of the application is complete and true and understand that knowingly to make a false statement for this purpose is a criminal offence.

Please tick the box on the application as shown to indicate your consent.

Finally click 'Complete'.

On completion

You have now completed your application form and you will be given a reference number. Please make a note of this number for reference purposes, as you may need it for future reference. If you entered an email address onto your application form you will receive a confirmation email containing these details.

Identification Checks

The settings primary applicant manager can then log in to locate the application and complete the relevant checks and select the level of check, known as section Y.

Please note all forms of checks should be original documents and also checked by the DSL. A list of suitable documents can be found at;
<https://static1.squarespace.com/static/58ecc49d03596e9140dad83f/t/5da038b85ae08c2075d82e99/1570781368868/DBS+Standard+and+Enhanced+List+of+Acceptable+ID+V2.pdf>

The primary application manager will be asked to review and approve all information before the application is sent to Security Watchdog to countersign and then sent to the relevant body for checking.

It takes approximately 2-4 weeks for a disclosure result to be returned, however this is not a guarantee. You will receive your own copy in the post.

Organisation Reference	
Organisation Code	
Primary Application Manager	

Recruiting Committee Members and Volunteers

Our safer recruitment commitment extends to the recruitment and management of all committee members and volunteers. We follow the steps below to ensure we are thorough and robust in our processes.

Step 1: Defining the Role

The trustees agree what skills, experience and knowledge are needed, and write it down in the form of a short job description and person specification.

Step 2: Advertising the Role

Adverts are designed to send a clear safeguarding message and the main text of the advert will make it explicitly clear that we are committed to safeguard children, and include the following text;

'We are an equal opportunities employer and are committed to safeguarding and promoting the welfare of children and young people. We expect all trustees and volunteers to share this commitment. The post is subject to an enhanced DBS check and barred list check and successful completion of an EY2 form'

(Please note the EY2 form is for trustees only and not required for volunteers).

Step 3: Expression of Interest

We ask all applicants to complete an expression of interest form which includes a personal statement as to why they are interested in becoming a trustee and details of two references.

Step 4: Short-listing and Interviews

These take place against agreed criteria. Interviews are carried out by a small panel of trustees, and each candidate is asked similar questions to ensure a fair and objective approach. Notes are kept of each interview.

Step 5: Vetting

If a position is offered this is on condition of suitability checks being made.

Trustee position: The trustees must ensure that the applicant has not been disqualified from acting as a trustee. This should be confirmed in writing by the applicant. Applicants are also asked to consider and declare any existing or potential conflicts of interest. Before formalising the appointment, the applicant is required to apply for an EY2 and DBS check and barred list check. On satisfactory completion of these and receipt of satisfactory references a formal appointment may be made.

Please see section 1 of this file for details on how to apply for these.

Volunteer position: Applicants are asked to consider and declare any existing or potential conflicts of interest. Before formalising the appointment, the applicant is required to apply for a DBS check and barred list check. On satisfactory completion of this and receipt of satisfactory references a formal appointment may be made.

Step 6: Making the Appointment

Trustee position: The Chair of the committee writes to the prospective trustees, setting out their duties and the charity's expectations of them; they are asked to sign and return a copy of the letter. An information pack (Committee Folder) about the charity is sent to new trustees, and a full induction process is arranged.

New trustees meet existing trustees and others involved with the charity, such as members of staff, volunteers and beneficiaries. The new trustees attend their first meeting and are duly welcomed. Ofsted are informed of new trustees through an EY3 form. Information of new trustees are also updated on the charity commission website.

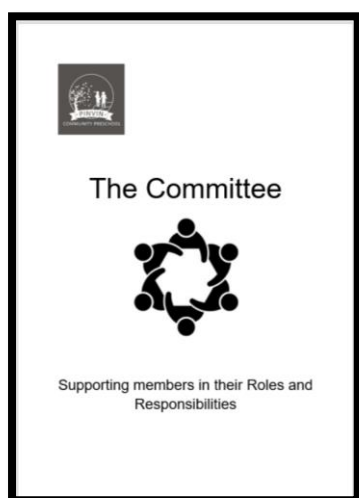
Successful volunteers: The manager meets with the volunteer and outlines the duties and expectations of working within the setting. An induction process is planned and the volunteer is introduced to members of staff, committee members, and other beneficiaries.

Step 7: Supporting Committee Members

It is of vital importance that trustees understand and recognise their legal duties in fulfilling their duties, both as a trustee of a charity but also in delivering the Early Years Foundation Stage (2017). To support this, we signpost to two important documents.

Charity trustee: what's involved (CC3a)

<https://www.gov.uk/guidance/charity-trustee-whats-involved>



This Committee folder has been written specifically for trustees of the charity. It outlines roles and responsibilities and has a range of tools to support the committee in their role.

All trustees will be sent an electronic copy of this on their successful appointment.

Managing an Allegation against a Member of Staff

Your safeguarding and child protection policy **must** have clear procedures on how to manage an allegation against a member of staff.

An allegation may indicate a person has acted in a way that has harmed a child, put a child at risk, committed a criminal offence against the child or behaved towards a child or children in a way that indicates they are not suitable to work with children.

The provider **must never** investigate an allegation of abuse or discuss with the person involved.

The allegations' process is managed by Worcestershire's Local Authority Designated Officers (**LADO**) as part of the Safeguarding and Quality Assurance Service. The LADO should be contacted in the first instance for advice and information.

LADO Duty Team can be contacted on Telephone: 01905 846221	All statutory partner agencies are required to report all allegations to the LADO within one working day. Referrals should be sent to: LADO@worscschildrenfirst.org.uk
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Some food for thought

Safeguarding children is a responsibility that continues to widen as the world grows more complex. The NSPCC provides detailed information on a wide range of types of abuse, to include;

Bullying and cyber bullying, Child sexual exploitation, Child trafficking, Domestic abuse, Emotional abuse, FGM, Grooming, Neglect, Non-recent abuse, On-line abuse, Physical abuse and Sexual abuse.

<https://www.nspcc.org.uk/what-is-child-abuse/types-of-abuse/>

Child Safeguarding Practice Reviews

In England, child safeguarding practice reviews (previously known as serious case reviews) should be considered for serious child safeguarding cases where:

- abuse or neglect of a child is known or suspected
- and a child has died or been seriously harmed.

There are 2 types of reviews:

Local reviews – where safeguarding partners consider that a case raise issues of importance in relation to their area.

National reviews – where the Child Safeguarding Practice Review Panel considers that a case raises issues which are complex or of national importance. The Panel may also commission reviews on any incident(s) or theme they think relevant.

Local authorities must notify the Child Safeguarding Practice Review Panel and the safeguarding partners in their area (and in other areas if appropriate) within five working days if they know or suspect that a child has been seriously harmed or died as a result of abuse or neglect.

Safeguarding partners must send the reports or learning from them to the Child Safeguarding Practice Review Panel and to the Secretary of State prior to publication. They should also send the report or learning to Ofsted.

Child safeguarding practice reviews demonstrate that errors and misjudgments are still made, and there are lessons to be learned from these. The review brings together the records of all agencies that have had involvement with the child or family. An overview report is produced which provides a complete picture of events. This report contains analysis of contact with the child and family and decision making, it draws conclusions and makes recommendations.

The following document is a summary from a Plymouth Serious case review in 2010. Some of the main themes from this was the importance of a safeguarding culture, safer recruitment and support to employees and trustees.

<https://www.safeguardingworcestershire.org.uk/serious-case-reviews-library/>

Themes arising from the Plymouth Serious Case Review March 2010

Recommendations for those working in Early Years settings:

- Operate safer recruitment procedures, including value based interviewing
- Have effective policies and procedures in place which are communicated to staff, including child protection and intimate care.
- Reflect on nappy changing provision, is this risk assessed? Consider the implications of lone working.
- Encourage open discussions amongst the staff group about good and poor practice and facilitate constructive challenge of each other
- Ensure that safeguarding is openly discussed and staff are aware of the possibility that abuse may happen within their workplace. All staff confident in implementing safeguarding procedures.
- Provide regular supervision and appraisals for all staff working in the setting.
- Have effective whistle blowing procedures and clearly identified lines of accountability.
- Have safeguards in place where boundaries may be blurred through friendship networks amongst staff and parents. Is there a code of conduct in place? Is there a policy for the use of mobile phones? Recommendations for social networking sites?
- Encourage communication and contact with parents and ensure they are kept well informed about their child's day to day experiences. Clearly identified key person and what their role is. Consistent staff in the same rooms.

Plymouth LSCB Serious Case Review March 2010

Little Ted's had been a nursery since 1994; it was an unincorporated not-for-profit association, run by a committee of trustees and managed by the nursery manager from July 2002. Vanessa George joined the group in September 06. Enquiries led to her arrest on the evening of 8th July 2009, after photographs of a sexual nature which showed a nursery tee shirt and appeared to have been taken in the toilet area of the nursery, were discovered on the computer of a 39 year old Colin Blanchard in the north of England. The nursery was closed the next day pending police enquiries and has not re-opened. George, Blanchard and a further female, Angela Allen were convicted on 15th December 2009, George will serve a minimum jail term of 7 years.

Findings in the report:

- The nursery was based on a primary school site and had moved from the basement to the reception area of the school. The previous site had

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been open plan and the children had been visible from all angles, but the children were less visible in the new site.

- Nappy changing took place in the toilet area which could be seen from the main room – the toilet door was usually propped open. There were 4 cubicles in a row, one with a full sized door, and 3 others with a half-sized door. Most staff changed nappies on the main nappy changing area easily visible to other staff; George however started to use the cubicle with the full door, saying she could not bend down due to her size. Although the door was open her body blocked the line of vision from the nursery to the child.
- Within the nursery, George is generally described as a popular member of staff. The nursery manager did tell the review that George had 'changed' from approximately December 2008. She is described as from that point always seeming to be on the internet and chasing men. The nursery manager heard that George had offered a man sex for doing her MOT, and that she had sex with a man on the moors for money. The manager confronted George about this, but there is no evidence that her behaviour changed as a result.
- Committee was unincorporated and trustees unaware of their responsibilities, no trustee meetings had taken place and of the 4 trustee's one was deceased.
- There was no formal interview prior to George's appointment. There were no records of an advertisement, interview or references for the post, but there are copies of a CRB check, health screening, a contract letter, a statement of particulars and pay roll forms. The nursery manager had been a Governor at the school for 24 years and knew George and her 2 children through the school.

Themes arising from this review:

- George had been described by staff as both "horrible" and more often "the life and soul of the party". The predominant view is of a popular member of staff both with parents and other members of the staff team. The review comments that:
"Although she was not senior in her position, other factors such as her age, personality and length of service could have created an illusion of position of power and encouraged a sense of trust...It is also the case that George is of the ability to behave in a highly manipulative manner and hence gain high levels of trust in others"
- Her position of power within the staff group was such that although staff became increasingly concerned about her crude language, discussion of extra-marital relationships and showing indecent images of adults on her phone, they were unable to challenge her. Another reason for the lack of challenge is that colleagues experienced feelings of guilt and discomfort at having been exposed to this increasingly inappropriate material. By even being shown sexualised pictures it is possible that the staff believed they had "allowed" it to happen and consequently did not know how to raise this with others. By drawing others partially into her activities, George made challenge less likely and may have interpreted the behaviour as implicit.

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- A management committee with officers (chair, treasurer and secretary) is usually elected to run the organisation on behalf of its members. The lack of clarity surrounding the responsibilities of trustees and the status of the nursery has left trustees in a vulnerable position.
- Little Ted's did not have a whistle blowing policy and interviews with staff also identified a lack of knowledge about where to go with concerns. There was no supervision or oversight of the manager's practice, and neither parents nor staff knew how to raise issues that might have been relevant to the safety of children within the setting.
- The policies and procedures in relation to child protection were inadequate, having been lifted without adaptation from the Pre-School Learning Alliance documentation. The policy was signed by the manager but had not been properly adopted at a staff meeting. There was no guidance in relation to nappy changing/intimate care and although this may not have prevented the abuse, transparency and discussion about the issue within the staff group will have given a clear message that child protection was a high priority.
- Lack of staff training, combined with an inadequate policy and procedure framework meant the manager was not confident that appropriate action would be taken in relation to child protection. Also, parents were not issued with a prospectus setting out the nursery's responsibilities in relation to child protection.
- Issues of staff ratios emerged as a concern. The setting was recorded as out of ratio on 83 occasions and George was on duty 35 of these. This would have considerably increased the opportunity for her to be on her own with the children.
- It is evident that staff supervision did not take place at Little Ted's. There is no requirement within the EYFS that staff should receive regular one to one supervision. Research into lessons from serious case reviews has concluded that supervision is important in assisting practitioners in coping with the emotional demands of the job, as well as enabling them to reflect on the meaning of their gut feelings. Staff at Little Ted's were becoming increasingly uncomfortable and worried about George's behaviour yet had nowhere to go with these feelings.
- There had been no opportunity for any member of staff through supervision or appraisal to reflect on the knowledge they needed to do their job and identify where there might be gaps that needed addressing through staff development opportunities.
- Little Ted's was a setting firmly based within the community it served and there appear to have been strong personal ties between some staff and parents. This is a strength but the dangers also need to be acknowledged and appropriate safeguards put in place. The dangers are that boundaries become blurred and parents are unable to either see or challenge practices that may indicate inappropriate care.

Recommendations for those working in Early Years settings:

- Operate safer recruitment procedures, including value based interviewing

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- Have effective policies and procedures in place which are communicated to staff, including child protection and intimate care.
- Reflect on nappy changing provision, is this risk assessed? Consider the implications of lone working.
- Encourage open discussions amongst the staff group about good and poor practice and facilitate constructive challenge of each other
- Ensure that safeguarding is openly discussed and staff are aware of the possibility that abuse may happen within their workplace. All staff confident in implementing safeguarding procedures.
- Provide regular supervision and appraisals for all staff working in the setting.
- Have effective whistle blowing procedures and clearly identified lines of accountability.
- Have safeguards in place where boundaries may be blurred through friendship networks amongst staff and parents. Is there a code of conduct in place? Is there a policy for the use of mobile phones? Recommendations for social networking sites?
- Encourage communication and contact with parents and ensure they are kept well informed about their child's day to day experiences. Clearly identified key person and what their role is. Consistent staff in the same rooms.

As a provider you are required to have a solid understanding of the current threats to our children, young people and adults. Knowledge supports us in being able to identify and support those in our care and beyond. A safeguarding audit is a good way to reflect deeply on your practice and find ways to continually improve your processes and procedures in protecting children whilst fulfilling your statutory duties.

A safeguarding audit and other useful templates can be found in Section 6 of this file.

Section 4: Managing an Ofsted Inspection

Ofsted inspection

Once a provider is registered on the Early Years Register, Ofsted will carry out regular inspections to evaluate the overall quality and standards of its early year's provision in line with the principles and requirements of the 'Statutory framework for the early year's foundation stage (2017)'. Inspection cycles are 4 yearly and all providers on the Early Years Register will normally have their setting inspected at least once within this four-year cycle. Ofsted prioritises inspections and/or inspects more frequently when it receives a concern about a setting, and risk assessment concludes that an inspection is needed.

Ofsted have developed an Early Years Inspection Handbook which details all information regarding the inspection process. This should be referred to regularly and shared with trustees and employees to ensure your setting is ready for inspection.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/828465/Early_years_inspection_handbook.pdf

In Summary...

Group provision will normally receive a telephone call at around midday on the working day before the start of the inspection. This is a good opportunity to establish what will be required during inspection so the inspection day runs as smoothly as possible. Parents must be informed immediately so they have the opportunity to speak with the inspector if they wish.

31. In group provision, if the provider or their representative is unavailable when the inspection notification call is made to the setting, the inspector should ask to speak to the most senior member of staff available.

32. If all reasonable steps have been taken to make contact with the setting but the inspector has not been able to speak to anyone, then the inspection will continue the following day without notice.

Please note before the inspection;

26. The inspector must prepare for the inspection by gaining a broad overview of the setting, its context and history. As part of this preparation, inspectors must check and evaluate information to inform their areas of inspection focus.

This preparation will involve checking registration details and cross-referencing trustees detailed on the charity commission website and those registered with Ofsted. It is therefore essential that this information is regularly updated, remembering Ofsted need to be informed within 14 days of any changes regarding the registered provider. Your settings website may be used by the inspector to gain information so again, spending time on ensuring this is up to date will support the inspector's preparations and allow them to get a feel for your setting – remember first impressions count.

Inspection day

- Generally, the inspection will be carried out by one inspector who could be onsite for up to 6 hours.
- On arrival they will confirm arrangements, agreeing the timetable for inspection activities such as meeting with parents and committee members, completing a joint observation of practitioners and a learning walk with the manager.
- A longer meeting will also be required with the manager, to discuss the settings evaluation of the quality of provision and other matters relating to leadership and management.
- A further meeting will then be arranged to formally provide feedback to the registered provider.
- The inspector will then check the accuracy of information held on the setting, gather information regarding children on roll, and staff qualifications.
- Inspectors are unlikely to check all policies held by the provider. However, they should consider, recruitment records, staff qualifications and deployment, staff training for safeguarding practice and procedures and any records of complaints.

Under the new inspection framework (2019) inspectors are wanting to experience what it is like for a child in the setting. Therefore, they will spend the majority of their time with the children and team gathering evidence about the quality of care, teaching and learning by:

- ✓ Observing the children at play.
- ✓ Talking to the children and practitioners about the activities provided.
- ✓ Talking to parents to gain their views on the quality of care and education provided.
- ✓ Observing the interactions between practitioners and children.
- ✓ Gauging children's levels of understanding and their engagement in learning.
- ✓ Talking to practitioners about their assessment of what children know and can do and how they are building on it.
- ✓ Observing care routines and how they are used to support children's personal development, including the setting's approach to toilet training.
- ✓ Evaluating the practitioners' knowledge of the EYFS curriculum.

51. In group provision, the inspector must track a representative sample of two or more children across the inspection. The inspector should discuss with the provider what they intend the relevant children to learn and remember based on what those children know and can already do. The evidence collected must refer to:

- The practitioner's knowledge of each child.
- The progress check for any children aged two.
- The impact of any early year's pupil premium funding on the children's development.
- The quality of support for any children with SEND.
- The discussions held with each child's key person and how they decide what to teach.
- How well children are developing in the prime and specific areas of learning that help them to be ready for their next stage of education, including school.

The inspector will make a judgement on the quality of education, behaviour and attitudes, personal development, leadership and management and safeguarding practice.

Judgement Area: Quality of Education

The new Inspection framework focuses predominantly on the quality of education received by the children in your care. You should refer to the inspection handbook for exact grade descriptors, however in brief the Quality of Education has 3 key features.

Intent: What do you want children to learn, what is unique about your setting and children, what do they need? This links to the new term 'Cultural Capital'

142. Cultural capital is the essential knowledge that children need to prepare them for their future success. It is about giving children the best possible start to their early education. As part of making a judgement about the quality of education, inspectors will consider how well leaders use the curriculum to enhance the experience and opportunities available to children, particularly the most disadvantaged.

143. Some children arrive at an early year's settings with different experiences from others, in their learning and play. What a setting does, through its EYFS curriculum and interactions with practitioners, potentially makes all the difference for children. It is the role of the setting to help children experience the awe and wonder of the world in which they live, through the seven areas of learning.

Implementation: How do you deliver your intent, what teaching approaches do you use?

Ofsted's definition of teaching;

Teaching should not be taken to imply a 'top down' or formal way of working. It is a broad term that covers the many different ways in which adults help young children learn. It includes their interactions with children during planned and child-initiated play and activities: communicating and modelling language; showing, explaining, demonstrating, exploring ideas; encouraging, questioning, recalling; providing a narrative for what they are doing; facilitating and setting challenges. It takes account of the equipment adults provide and the attention given to the physical environment, as well as the structure and routines of the day that establish expectations. Integral to teaching is how practitioners assess what children know, understand and can do, as well as taking account of their interests and dispositions to learn (characteristics of effective learning), and how practitioners use this information to plan children's next steps in learning and monitor their progress.

Impact: So, what difference are you making? Are children making progress in their learning? Do they know more in terms of knowledge and skills and are they prepared for their next destination i.e. school or other setting?

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/828465/Early_years_inspection_handbook.pdf

Judgement Area: Behaviour and Attitudes

148. Inspectors will consider the ways in which children demonstrate their attitudes and behaviour through the characteristics of effective learning:

- ✓ Playing and exploring
- ✓ Active learning
- ✓ Creating and thinking critically.

149. Although attendance at the setting is not mandatory, inspectors will explore how well providers work with parents to promote children's attendance so that the children form good habits for future learning. In particular, inspectors will consider the attendance of children for whom the provider receives early year's pupil premium.

150. Inspectors will consider the extent to which leaders and practitioners support children's behaviour and attitudes, including how the provision helps children to manage their own feelings and behaviour, and how to relate to others.

Judgement Area: Personal Development

This area considers the experiences you offer the children to ensure they are prepared for life in modern Britain. The inspector will consider evidence of how you provide a rich set of experiences which promote an understanding of people, families and communities beyond their own. It considers how you support the development of character, confidence and resilience. This section threads into British values and children's well-being in terms of exercise, healthy diet and keeping themselves safe.

Judgement Areas: Leadership and Management

Inspectors will be looking for evidence of how leaders ensure that they and practitioners receive focused and highly effective professional development and how this impacts the child experience. In addition, inspectors will be looking for how staff well-being is prioritised within the setting, including the manager.

88. Inspectors will gather evidence of the effectiveness of staff supervision, performance management, training and continuing professional development, and the impact of these on children's well-being, learning and development. This includes evidence on how effectively leaders engage with staff and make sure they are aware of and manage any of the main pressures on them.

The leadership team would be expected to demonstrate a clear and ambitious vision which ensures all children, particularly those with SEND do well. They fulfil all statutory obligations and work effectively with parents and other agencies to provide the very best care and education.

Safeguarding

41. Inspectors will always have regard to how well children are helped and protected so that they are kept safe. Although inspectors will not provide a separate grade for this crucial aspect of a provider's work, they will always make a written judgement in the report about whether the arrangements for safeguarding children are effective.

During the inspection process the inspector will ask trustees and staff members questions relating to safeguarding. It is of vital importance that all staff are confident in their safeguarding duties and are able to articulate their knowledge confidently and accurately.

The inspector will be sourcing evidence through dialogue with the team and also what they observe in practice which may lead to further enquiry. They will be evidencing how:

The provider has a culture of safeguarding that facilitates effective arrangements to: **identify** children who may need early help or are at risk of neglect, abuse, grooming or exploitation; **help** children to reduce their risk of harm by securing the support they need, or referring in a timely way to those who have the expertise to help; and **manage** safe recruitment and allegations about adults who may be a risk to children.

Failure to meet safeguarding and welfare requirements, where breaches have a significant impact on the safety and well-being of children will lead to an inadequate grading.

A key document on Inspecting safeguarding in early years, education and skills settings (2019) is found below;

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/828763/Inspecting_safeguarding_in_early_years_education_and_skills.pdf

Grading

132. Inspectors use a four-point scale to make all judgements.

- Grade 1: outstanding
- Grade 2: good
- Grade 3: requires improvement
- Grade 4: inadequate.

Judgement Area: Overall Effectiveness

Taking into account the findings from the inspection the inspector will make a judgement on the overall effectiveness of the setting.

96. Failure to meet a statutory requirement will not always result in a judgement that the provision is inadequate. Where a statutory requirement is not met, the inspector will take into account the impact of this on children's health, safety and well-being as well as their learning and development.

97. Where the quality of education judgement is judged to be less than good, the overall effectiveness judgement will normally not be higher. There does not need to be a failure to meet a statutory requirement of the EYFS for a setting to be judged as less than good.

The Report

119. The inspector must write the report immediately after the inspection. The report will explain what it is like to attend the early years setting. Inspectors will report on what the setting does well and what it needs to do better. The text, balance and tone of the report should reflect the judgements made, based on the evidence gathered, and correspond to the feedback given.

Reports are sent to the provider for approval and then will be published on-line for public view. Should you not be happy with the inspection process, Ofsted do have a complaints procedure. Please see their website for further details.

What happens if we get an inadequate grading?

When an inspector judges that you are not meeting the requirements of either the compulsory or the voluntary part of the Childcare Register, or both parts, Ofsted will either:

- 1) issue you with a notice that sets out what the steps you must take and by what date – these relate to any of the Requirements of the Childcare Register that you failed to meet
- 2) They may decide to take enforcement action against you, including prosecuting you or cancelling your registration.
- 3) The local authority would be informed and there may be support available to you to help make the improvements required.

A setting with an inadequate grading would normally receive a compliance visit to ensure improvements have been made and can be sustained. If this is deemed sufficient a further full inspection will be made within 6 months of the original inspection.

For further details please see the following Ofsted document;

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/453251/The_next_steps_when_a_provider_is_judged_inadequate_or_is_not_complying_with_requirements.pdf

Section 5: Operating as a Business

Charities that provide services will usually be involved with normal business functions, such as employing staff, renting premises, and entering into contracts with suppliers. Therefore, trustees need to observe many of the practices and regulations concerned with running any ordinary business, in addition to the particular requirements necessary for charities.

Human Resources

The skills and attitudes of the adults working with children are important factors in creating and maintaining quality in a childcare provision. Everyone has a contribution to make and should be treated in a fair and consistent manner, regardless of the role they play within the charity. Trustees are responsible for governing the operations of the charity; which involves recruiting people with the right skills, qualifications and experience to carry out its activities. The trustees must fulfil the responsibilities of an employer as not to do so is illegal and can create major problems to the detriment of the trustees and the charity.

Policies and procedures of the setting support trustees in fulfilling these duties.

The Suitable People policy covering the following aspects of employment from recruitment to disciplinary and grievance;

- Safer recruitment
- Recruitment of trustees and volunteers
- Induction of employees, trustees and volunteers
- Continuous Professional Development including supervision and appraisal
- Student placement
- Employee behaviour and conduct
- Dignity at work
- Managing conflict
- Capability Procedures
- Managing absence
- Supporting mental health (including stress and menopause)
- Disciplinary process
- Grievance process
- Whistleblowing

Financial Management

Maintaining a healthy cash flow is essential to supporting the financial security and successful operations of any organisation. The trustees must take reasonable care in the management of the assets of the charity; ensuring they are used to further the purposes of the charity and managed in accordance with the charity's governing document.

The trustees are collectively responsible for ensuring there are systems in place to effectively plan, manage, document and safeguard the charity finances, which comply with the rules within the charity's governing document and financial requirements for charities.

The treasurer must ensure that complete, accurate and clear financial records are kept that evidence and explain all of the charity's transactions, as well as maintaining a record of all the assets and liabilities of the charity. The treasurer may do this work themselves or a competent person may be employed to carry out this work on the pre-school's behalf.

Financial controls

It is important for charities to put protective measures in place to reduce the risk of error or fraud. Where possible, it is recommended there are is a 'segregation of duties', which ensures that no one person carries out the whole accounting process. Other simple financial controls that should be implemented to help protect the charity's assets include:

- Trustees should consider carefully the use of electronic banking as trustees may be liable for any losses through using internet banking , except when caused by the banks own error or negligence.
- Financial updates should be provided at each trustee meeting
- Two signatories should sign cheques for large amounts
- Charities should avoid having large amounts of cash on the premises. Any cash on the premises should be locked away securely and kept out of sight
- Cash payments should be counted and checked by two people
- Duplicate bank statements should be sent to the treasurer and chair person

- An accurate record should be kept of all debtors and a debtor procedure followed to collect money owed
- Year-end accounts should be scrutinised by an independent examiner and then uploaded to the charity commission as part of the annual return

Planning and budgeting

In order to properly manage the finances, the trustees should plan ahead for the expected activities and developments of the charity for the forthcoming year. A business plan is a simple tool for this, which incorporates the trustees aims and objectives for the year. A budget, setting predicted income and expenditure, should be agreed each year to support the objectives outlined in the business plan.

Payroll

All employers must pay their staff at least the hourly national minimum wage, and ensure they receive statutory entitlements relating to holiday entitlement, sick pay and maternity, paternity and adoption leave. Any deductions from an employee's salary for income tax, national insurance, pension, student loan and other payments must also be calculated accurately and paid to the appropriate body. Employees must be provided with a payslip, containing details of their gross and net salary; with a breakdown of the deductions made.

The charity must register with HMRC to operate PAYE AND RTI reporting.

Reserves

In order to remain solvent and sustainable, a reasonable amount of funds must be kept in reserve to cover expenses as they become due. Some expenses may be known as they are required for specific purposes such as redundancy funds but some may be unexpected. It is good practice to plan ahead and have a reserves policy to identify what reserves are needed and the reasons why, as well as the level of reserves required.

This should be reviewed regularly by the trustees in order to achieve a balance of available money to carry out the purposes of the charity and retained funds to secure future sustainability.

Nursery Education Funding (NEF)

All 3 and 4-year-old children, as well as some 2-year-old children, are entitled to 15 hours of free early education and childcare per week, for 38 weeks of the year.

Some 3 and 4-year-old children are also entitled to an additional 15 hours per week (known as 30 hours funding).

Any Ofsted registered early years provider is eligible to sign up with Worcestershire County Council to offer these hours. All early year's providers who wish to offer free places for two, three and four-year-old children within Worcestershire, must be registered with Worcestershire County Council to be included on the Worcestershire Directory of Funded Providers.

By registering, early years providers agree to abide by the national guidance document: 'Early Education and Childcare; Statutory Guidance for Local Authorities', June 2018 and the local guidance document 'The Worcestershire Provider Agreement. This is issued annually and a copy of this is kept in the funding file. For a copy of the agreement email: NEF@worscschildrenfirst.org.uk

All providers wishing to offer Nursery Education Funding must deliver the Early Years Foundation Stage in line with all principles and requirements, as set out in the 'Statutory Framework for the Early Years Foundation Stage 2018

Providers who are judged by Ofsted as 'Inadequate' are unable to register to offer NEF in Worcestershire.

Providers who are judged by Ofsted as 'Requires Improvement' are unable to register to offer Two-Year-Old Funding in Worcestershire.

When a child starts at the setting

You must check the date of birth of every child who you claim Nursery Education Funding (NEF) for. This includes two-year-old funding, universal 3 and 4-year-old funding and those accessing 30 hours free childcare. If you offer a place to a child who does not meet the appropriate age to access NEF, you will not be able to claim funding for them. To be eligible for funding, children must meet the following age criteria before any other criteria can be applied:

Children who turn two/three years of age between;	Term that two/three-year-old funding commences:
1st April and 31st August	Autumn Term (September)
1st September and 31st December	Spring Term (January)
1st January and 31st March	Summer Term (April)

The annual entitlement of 570 Universal hours and 570 Additional hours (where applicable) will always start in September and finish in August. No child will be able to access more than 570 or 1140 hours during this period.

Parental declaration form

To claim NEF all parents, need to complete an annual Parent Declaration Form, this confirms the total number of hours that their child is attending per week. This form also has useful links to support families in applying for eligible funding.

Split settings

Where children attend more than one setting, they can choose how to split their funding on the parental declaration form. The allocation of hours must be in line with the settings offer of free places and cannot be altered until the end of each term.

Settings offer

It is at the settings discretion how the universal and additional hours are offered. This offer should be made clear to parents with transparency regarding any additional costs. We currently offer 15 and 30 hours between the hours of 9 to 3pm 5 days a week for 38 weeks of the year.

Parent Declaration Form for Funded Early Education Places for 2, 3- and 4-year olds

To receive your child's funded Nursery Education entitlement, this form must be completed accurately at each of the settings your child attends. You should discuss the options available with your child's setting, to ensure that you are able to take up your child's entitlement in the way that you wish.

1: Child's Details

Child's Legal Forename(s):	
Child's Legal Family Name:	
Name by which the child is known: (if different from above)	
Child's Date of Birth:	
Proof of Date of Birth provided:	YES / NO Documentation provided:
Child's Gender:	
Child's Address:	
Child's Postcode:	

The following question is optional. The information provided will be stored by your child's setting in line with their Data Protection Policy and will be shared with Worcestershire County Council and the Department for Education, as part of their claim for Nursery Education Funding. If you no longer wish to have your child's ethnicity processed, you can withdraw your consent to your child's setting at any time

Child's Ethnicity:	(optional)
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2: Parent / Carer's Details

IMPORTANT: The following information needs to be provided if you are accessing **30 Hours Free Childcare, Early Years Pupil Premium** or the **Disability Access Fund** for your child.

Parent/Carer Forename: (person named on benefits claim)	
Parent/Carer Family Name:	
Parent/Carer Date of Birth:	
Parent/Carer National Insurance Number/NASS Number:	
2 nd Parent/Partner Forename:	
2 nd Parent/Partner Family Name:	
2 nd Parent/Partner Date of Birth:	
2 nd Parent/Partner National Insurance Number/NASS Number:	

3: Funding Entitlements

Detailed information about each of the funding entitlements can be found on pages 5 – 6.

Please indicate which of the following funding entitlements you wish to claim for:

Funding Entitlement	Confirmation												
<p>Two Year Old Funding</p> <p>Applications can be made at www.worcestershire.gov.uk/freechildcare</p>	<p>Have you applied for Two-Year-Old Funding in Worcestershire and received a Certificate of Eligibility?</p> <p>YES / NO (delete as appropriate)</p> <p>If you have ticked 'YES', please enter the Reference Number from the Certificate of Eligibility:</p> <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <p>Please give a copy of your Certificate of Eligibility to your child's setting.</p>												
<p>30 Hours Free Childcare for eligible 3 & 4 year old children</p>	<p>Please enter your 30 Hours Free Childcare Code:</p> <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>												
<p>Early Years Pupil Premium for eligible 3 & 4 year old children</p>	<p>Are you in receipt of any qualifying benefits? (Further information can be found on page 6):</p> <p>YES / NO (delete as appropriate)</p> <p>Is your child currently, or have they been, looked after by the Local Authority?</p> <p>YES / NO (delete as appropriate)</p> <p>If you have ticked 'YES', please ensure you have completed Section 2 (Parent/Carer Details) on page 1.</p>												
<p>Disability Access Fund for eligible 3 & 4 year old children</p> <p>A copy of your child's DLA letter must be provided to the setting.</p>	<p>Is your child in receipt of Disability Living Allowance? (Further information can be found on page 6)</p> <p>YES / NO (delete as appropriate)</p> <p>If your child is receiving their free entitlement at more than one setting, please nominate the setting you wish to receive the Disability Access Fund.</p> <p>Name of Setting:</p>												

4: Please allocate your child's FUNDED hours below:

If your child is entitled to Two-Year-Old Funding or Universal entitlement for 3 & 4-Year-Old Funding, please allocate up to 15 'Universal' hours. If your child is entitled to the 30 Hours Free Childcare for 3 & 4-Year-Old Funding, please allocate up to 15 'universal' hours and up to 15 'additional' hours. Unless you are advised by your child's setting, please **split your child's funded hours equally between 'universal' and additional'**.

If your child is attending a specialist setting (e.g. Special School Nursery Class/Early Years Specialist Language Unit/Nursery Assessment Class), they must be allocated 'universal' hours to cover the number of hours your child attends.

Your allocation of funded hours must be in line with what is offered by your child's setting. Once you have allocated your child's funded hours, you will not be able to change your child's setting or reduce their funded hours until the end of each term.

Name of Setting:	Mon	Tues	Weds	Thurs	Fri	Total hours attended per week	Total number of weeks per year to receive funded hours (eg. 38, 51)
Universal hours (max. 15)							
Additional hours (max. 15)							
Non-Funded hours							

If your child attends any other settings, please enter the information in the table(s) below:

	Mon	Tues	Weds	Thurs	Fri	Total hours attended per week (including non-funded hours)	Total number of weeks per year to receive funded hours (eg. 38, 51)
Name of 2 nd Setting:							
Universal hours							
Additional hours							
Name of 3 rd Setting:							
Universal hours							
Additional hours							
Total Funded Hours attended per week (including hours accessed at all settings)							
Total Funded Hours attended per year (weekly funded hours x number of funded weeks)							

You can request a copy of your 'child-based statement' from your child's setting to confirm the number of funded hours that your child has accessed during the year.

It is a requirement of the Early Years Foundation Stage (EYFS) for settings to communicate with each other and share information about your child, if your child is attending more than one setting. This will include information contained within this form.

5: Privacy Information

The information provided within this form will be processed by your child's setting, to enable them to claim Nursery Education Funding. The information will be securely shared with Worcestershire County Council and the Department for Education, to provide your child's funded hours. The information will also be shared with Worcestershire Children First, by Worcestershire County Council to deliver education services on their behalf.

Further information about how Worcestershire County Council will use your/your child's data can be found within their Privacy Notice: www.worcestershire.gov.uk/privacy

6: Parent/Carer Declaration

Please sign to confirm that:

- I certify that all the details provided above are correct.
- The setting(s) named above will claim funding based on the information I have provided.
- The setting(s) named above will claim for additional funding as appropriate (which may include funding to support inclusive practice for children with additional needs), to support them to provide the free Early Education Place for my child.
- I understand that I will have to pay a bill to my setting(s), even after my child has stopped attending, if the information I provide is incorrect.
- I understand that in order to claim the 'additional' 15 hours (30 Hours Free Childcare), I must re-confirm my eligibility every three months with HMRC and that if I fail to do so, I will be liable to pay for any hours not funded by the local authority.
- I understand that my details and my partners, where applicable, will be used to apply for EYPP and to confirm eligibility for 30 Hours Funded Childcare, as appropriate.
- I understand that I must amend this form/complete a new form if my details, circumstances or attendance patterns change.
- I understand that my child's allocated funding will not be moved during each funding period.

Parent/Carer Signature:	
Date:	
2 nd Parent/Partner Signature:	
Date:	

7: Provider Declaration

Please sign to confirm that:

- You have provided the parent/carer with accurate information about Nursery Education Funding.
- You are offering a funded place as outlined above.
- The hours allocated total no more than a maximum entitlement of 570 annual 'universal' or 'additional' hours.

Signed:	
Provider Name:	
Date:	

Parent Declaration Form - Supporting Information

Please retain this information for your records.

1: Two-Year-Old Funding

Some two-year-old children are entitled to free childcare from the term after their 2nd birthday – 1st January, 1st April or 1st September. Information about the eligibility criteria and how to apply can be found at:

www.worcestershire.gov.uk/freechildcare.

Funding for eligible two-year-old children is based on 15 free hours per week, over 38 weeks of the year. You can choose to spread your child's hours over more than 38 weeks of the year, for example over 51 weeks. This would mean that your child would access less than 15 free hours per week. You can choose to receive funded hours at a maximum of two settings in any one day. A maximum of 10 hours can be funded per day.

Your child's setting(s) can choose how they offer the free entitlement. Please discuss your requirements with each setting before completing this form to ensure that what they offer meets your needs. Your child's setting will claim funding based on the information you provide. You may find that you are left with a bill from your child's setting if you do not complete the form accurately and funding is therefore not allocated appropriately. You will need to complete a Parent Declaration Form for each setting that your child attends.

2: 3 & 4-Year-Old Funding - Universal 15 Hours

Your child is entitled to 570 'universal' free hours per year, which is a maximum of 15 hours per week over 38 weeks of the year, from the term after your child's 3rd birthday – 1st January, 1st April or 1st September. You can choose to spread your child's hours over more than 38 weeks of the year, for example over 51 weeks. This would mean that your child would access less than 15 'universal' hours per week. You can choose to receive funded hours at a maximum of two settings in any one day. A maximum of 10 hours can be funded per day.

Your child's setting(s) can choose how they offer the free entitlement. Please discuss your requirements with each setting before completing this form to ensure that what they offer meets your needs. Your child's setting will claim funding based on the information you provide. You may find that you are left with a bill from your child's setting if you do not complete the form accurately and funding is therefore not allocated appropriately. You will need to complete a Parent Declaration Form for each setting that your child attends.

If your child is attending a specialist setting (e.g. Special School Nursery Class/Early Years Specialist Language Unit/Nursery Assessment Class), they must be allocated 'universal' hours to cover the number of hours your child attends.

3: 3 & 4-Year-Old Funding - Additional 15 Hours (30 Hours)

If your child is aged 3 or 4 years of age and you (and your partner if applicable) meet the criteria, your child could be entitled to a total of 30 hours childcare per week. Please visit www.childcarechoices.gov.uk to find out more information and apply for your 30 Hours Free Childcare Code.

If you have received a 30 Hours Free Childcare Code, please enter the Code onto the Parent Declaration Form.

If you have provided a valid '30 Hours Eligibility Code' above, your child is entitled to a further 570 'additional' hours per year. The 'additional' hours will start from the beginning of the next funding period - 1st January, 1st April or 1st September. If at any point during the year your child stops being eligible for the 'additional' hours, your child's free entitlement will be based on the 'universal' allocation above. You must also discuss your child's attendance hours with their setting(s), to ensure that they are still able to offer the hours that you need. When you allocate your child's hours, we recommend that unless you are advised differently by your child's setting, you should allocate the hours equally between 'universal' and 'additional'.

4: 3 & 4-Year-Old Funding - Early Years Pupil Premium

The Early Years Pupil Premium (EYPP) is an additional sum of money used to enhance the quality of your child's early years' experience by improving the teaching and learning, facilities and resources of a setting, with the aim of impacting positively on your child's progress and development.

It is paid to settings for 3 & 4-year-old children of families in receipt of certain benefits. Applicable benefits include:

- Income support
- Income-based Jobseekers Allowance
- Income-related Employment and Support Allowance
- Support under part 5 of the Immigration and Asylum Act 1999
- The guaranteed element of State Pension Credit
- Child Tax Credit (provided you are not entitled to Working Tax Credit and have an annual income of no more than £16,190)
- Working Tax Credit run-on
- Universal Credit (with a net income threshold of £7,400).

It is also available for children who are or have been looked after (CLA) by the Local Authority.

If your child is entitled to EYPP, it will only be paid to the setting(s) receiving the 'universal' hours. For more information, please speak to your child's setting.

If you believe your child is entitled to EYPP, please indicate this on the Parent Declaration Form. Accessing EYPP will have no impact on your finances or access to any benefits.

5: 3 & 4-Year-Old Funding - Disability Access Fund

Three and four-year-old children who are in receipt of child Disability Living Allowance (DLA) and are receiving all or part of their free entitlement, are eligible for the Disability Access Fund (DAF). The DAF is paid to your child's setting to ensure that they can support your child's needs. The DAF is a fixed annual payment of £615.

If your child is in receipt of DLA, you will need to allocate the DAF on the Parent Declaration Form and provide a copy of your child's DLA to your child's setting. If your child is accessing their free entitlement at more than one setting, you will have to choose which setting to allocate it to. We recommend that this is the setting where your child spends the majority of their funded hours.

Once the DAF payment has been made, it cannot be moved. To ensure that you are happy with your choice, the School's Finance Team will require you to confirm your choice; if you have provided consent they will contact you directly, if you have not given consent, you will need to email the team directly at eyfunding@worcestershire.gov.uk to confirm your choice.

Childcare Choices

Tax-Free Childcare is a government scheme to support working parents with childcare costs. If eligible, parents can set up an online childcare account which they can use to pay invoices directly. For every £8 they pay in, the government will pay in an extra £2. Parents can get up to £2,000 per child per year, or £4,000 for disabled children.

Childcare choices have replaced the previous childcare voucher scheme which closed for new entrants in October 2018. Parents can still use the childcare voucher scheme providing they remain in continuous employment with the original employer.

<https://www.childcarechoices.gov.uk/providers/>

Claiming for 2-year-old funding

Some 2-year olds are eligible for funding, dependent on their family income. For more information parents can visit <http://www.worcestershire.gov.uk/2yearfunding>

Applications can be made online or from downloading a paper form.

https://eycportal.worcestershire.gov.uk/SynergyWeb_LIVE/Parents/default.aspx

Claiming for 30 hours funding

There is one application for 30 hours free childcare and tax-free childcare.

Application is completed on-line and if parents are eligible, they will receive a code which must be given to the provider. Every 3 months the parent must confirm their details to ensure the code remains valid. <https://www.childcarechoices.gov.uk/>

Pupil Premium

The Early Years Pupil Premium is an extra payment paid directly to childcare providers for the universal 15 hours only (not for 30 hours or for 2-year olds). Pupil premium can provide an extra £300 per year for children whose families are in receipt of certain benefits or children who have been in care or adopted from care.

The setting can use the funding in any way they choose to improve the quality of the early year's education, however decisions on how this is spent should be made in

conjunction with parents. It should not be used to reduce costs the family currently pay. Examples of how this has historically been used include, speech and language resources for the home, specialised sessions i.e. swimming, hot meals, or additional sessions to support regular attendance. Each individual case should be considered carefully to ensure the funding makes a real difference to the child.

Providers establish which families are eligible through the completion of the parent declaration form. The money gets paid with the normal NEF entitlement. How the money is spent and the outcomes from this must be documented for audit and Ofsted purposes.

Disability Access Fund

If a 3 or 4-year-old is in receipt of Disability Living Allowance (DLA) then as a childcare provider we can access a Disability Access Fund. This is £615 a year that goes to the childcare provider of the parents' choice and supports the provider to meet the child's needs. Parents will state if their child receives DLA on the parental declaration form. Where they are using more than one provider, the parents can decide which provider receives the fund, as it can only go to one provider.

Inclusion Funding

All providers must have a clear approach to assessing children's special educational needs and/or disabilities, and their approach should be understood and followed by the whole team in group settings. Childcare settings that offer NEF are entitled to receive an inclusion supplement up to the maximum of 15 hours. This supplement is based on the level of provision required to meet the child's needs and should be allocated to additional staffing, specialist consultancy services and appropriate specialist resources. If the child is in a split setting this fund may be distributed between the two settings unless the alternative placement is 'specialised' whereas they would receive all of the funding.

The document 'Ordinarily available in Worcestershire Early years settings' details what the local authority expects to be made ordinarily available to all children within early years settings, through a graduated response of support and intervention. This document clearly sets out the criteria for applying for additional funds and if in receipt of these the providers commitment to the child in terms of intervention and support.

Any additional funds applied for must be with written parental consent and the allocation of funds discussed with them. The use of funds will be monitored by the inclusion team at regular intervals and it is the providers responsibility to ensure the effective use of additional funds, improving outcomes for the child.

Code of practice level	Inclusion supplement per child per hour (max 15 hours)
Graduated response 2	0.74 per hour (3-4-year olds only)
Graduated response 3	£1.44 per hour Refer to preschool forum
Graduated response 4	£2.70 per hour
Exceptional early years funding	£6.30 per hour
Disability Access Fund (DAF)	£615 annual payment. 3-4-year olds in receipt of disability living allowance

When completing paperwork for requesting inclusion supplement funding there are specific deadlines to meet. It is good practice for the settings SENCO to complete this process in line with the financial controller to ensure a successful application. Application forms and important information can be found at;

<http://www.worcestershire.gov.uk/WCFEducationServices/info/31/early-years-inclusion/67/early-years-inclusion-z-resources/3>

Term	Deadline for application form to reach inclusion team	Decision panel meeting
Autumn Term 2020	2 October 2020	7 October 2020
Spring Term 2021	20 November 2020	25 November 2020
Spring Term 2021	22 January 2021	27 January 2021
Summer Term 2021	5 March 2021	10 March 2021

Additional financial support is available through grant schemes such as The Family fund who help to fund essential items required when raising a disabled or seriously ill child. This is applied for directly by the family.

<https://www.familyfund.org.uk/>

NEF Audits

NEF Audits are carried out to ensure that all settings who are funded to deliver NEF within Worcestershire are adhering to the Worcestershire Provider Agreement and are therefore allowing families to access their free entitlement.

NEF Audits are carried out to confirm:

- accuracy of funding claims
- accuracy of funding payments, including Inclusion funding
- adherence to the Worcestershire Provider Agreement
- parents are able to access their child's free entitlement without having to pay any additional fees

Providers who have been selected for a NEF Audit will need to present the following information:

- copies of registers (daily attendance sheets) for one week at the beginning and one week at the end of the audited term
- copies of all Parent Declaration Forms for the audited term
- copies of all parental invoices/bills/statements for a period within the audited term
- evidence supporting the level of need for any funded child receiving an inclusion supplement
- details of the way in which providers offer the free entitlement, which should include
 - a copy of the fee structure
 - a copy of a registration form/contract
 - any funding related information used by the provider for parents/carers

Providers can choose how they offer Nursery Education Funding at their setting, as long as they follow the national guidance:

- no session to be longer than 10 funded hours
- funded hours cannot be offered before 6.00am or after 800pm
- funded hours must be offered as a continuous session, without 'artificial breaks'.

Parents and carers must be given clear information about what is on offer at a setting. This must include what is available for 'free' as part of the funded hours along with the cost of additional hours and services which parents/carers can choose to access.

Parents and carers can be charged a deposit to secure their child's free place, however this must be refunded by the end of the first term of attendance.

Providers can choose to limit the number of free places available at the setting. The criteria for allocating these places must be clearly set out in their admissions policy. The admissions policy should be available to all parents/carers.

Removal of NEF

Providers may also be removed from the Worcestershire Directory of Funded Providers if they:

- fail to supply adequate information to complete a NEF Audit
- do not adhere to the 'Early education and childcare: Statutory guidance for local authorities', June 2018 and/or the Worcestershire Provider Agreement
- fail to complete the annual Early Years Census

Removal of funding process

If a provider is judged to be 'Requires Improvement', 'Not Met' or 'Inadequate' by Ofsted:

- upon publication of the Ofsted report, providers will be expected to submit a list of children who are currently registered to access NEF or who are due to start

accessing NEF within the next half of the term. These families will be given notice of the removal of funding from their child's provider. The provider will be expected to submit a list on the Children's Services Portal to include:

- full name of child
- date of birth
- address
- registered attendance pattern (including days and times)
- children who are not included on this list will not receive NEF after the publication of the Ofsted report
- an **NEF Sufficiency Assessment** will be conducted to ensure that alternative provision is available within the locality of the provider. Where it can be evidenced that there is no alternative provision available for an individual child, it may be possible for the family to continue using the provider
- the NEF Sufficiency Assessment will be completed by the NEF Team. Based on the results of the NEF Sufficiency Assessment, a recommendation will be shared with the Early Years Steering Group for approval by the Assistant Director of Education and Skills. A copy of the completed NEF Sufficiency Assessment will be available upon request by the provider
- notice will be given to the provider within four weeks of the judgement being published. Families of funded children will also be notified that funding will be removed from their child's provider. Funding will cease from half-term or term break, depending upon the number of weeks remaining in the period, ensuring that at least 6 (calendar) weeks' notice is given

For further information;

Two-year-old funding Email: twoyearoldfunding@worcestershire.gov.uk
Three and four year old funding Email: NEF@worcschildrenfirst.org.uk
Business Support Email: CShotton@worcschildrenfirst.org.uk
NEF Payments Email: eyfunding@worcestershire.gov.uk

Completing the funding process

Google 'Access the provider portal Worcestershire' this will give you the following link;

http://www.worcestershire.gov.uk/info/20739/professionals_partners_and_providers/939/nursery_education_funding_and_online_provider_portal/3

Select 'Funding for NEF Providers'

Username: 2955Pinvin

Password: Bertie2019!

Secret information (in funding file)

Select modules (top left corner) Childcare/service provider

Select funding tab

http://www.worcestershire.gov.uk/downloads/download/1068/early_years_provider_portal_user_guides

Follow above user guide.

Estimates

The first step of the funding process is to input estimated hours the setting is offering for the term. This is simply a number calculated from the number of children entitled, the weeks in the term and the 15/30 hours entitlement. Separate estimates will be needed for 2-year-old funding and 3-4-year funding.

Actuals

Actuals are inputted termly and this is where you input personal details of the children and the hours they are claiming. This should be in line with the parental declaration forms.

The NEF team issue annual 'portal opening and monthly payment calendars' with clear deadlines for submitting information and dates of when claims will be paid. We currently receive payments on a monthly basis to support cash flow.

Adjustments

Adjustments can be made for both 2 year funded and 3-4-year funded children before the term is over (usually 2 weeks before the end of term). It is therefore important to ensure any changes to funding claims are communicated through the portal before this date. Reasons for adjustments maybe children starting late in term, children missed off the actuals, or changes in attendance pattern.

Weighting

When inputting actuals and child details there is an opportunity to put in the graduated response level, and consent to check for eligibility for 30 hours and pupil premium. If the child is eligible this will show on the funding form as a weighting. It is important to ensure this allocation of money is used for its purpose.

Statements

Statements can be printed from the portal and should be kept for auditing purposes. It is good practice to check these regularly with one other person to ensure accuracy and to highlight any issues. **For more information;**

Online Provider Portal Email: chs.business.support@worcestershire.gov.uk Telephone: 01905 766766
Children's Services Portal Email: chs.business.support@worcestershire.gov.uk Telephone: 01905 766766

Fundraising

Fundraising is a good way to raise additional funds to support the activities of the charity. There are however some legal requirements to some fundraising activities, for example, the running of lotteries. It is therefore good practice to contact the local council when planning such events to confirm you are acting within the law.

When fundraising charities must;

- Put the name and charity number (700766) of the organisation on all materials related to the event
- Clearly advertise to all donors what the proceeds will be used for and restrict funds for that purpose only
- State how additional funds will be used if the original purpose is achieved

Gift aid is a scheme that enables charities to reclaim the tax paid on donations from UK tax payers, in order to maximise fundraising donations. Charities must apply to HM Revenue and customs for recognition as a charity for tax purposes in order to claim gift aid and all donors must complete a Gift Aid declaration form available from HM Revenue and Customs www.hmrc.gov.uk.

Annual report and accounts

At the end of the financial year the trustees must produce a Trustees Annual Report and set of financial accounts. This should be shared with all members of the charity.

The Trustees Annual Report must contain up to date information and details of the charity and its trustees, as well as an explanation of the activities undertaken to further its charitable purposes for the public benefit.

Where there is a gross income of over £25,000 the Trustees Annual Report and financial accounts must be filed with the charity commission through the Annual Return process.

Annual Return

The annual return for a charity whose income falls between £25,001 to £500,000 includes two parts;

Part A: Charity information; Up to date details of trustees, a description of the work during the reporting period and basic income and expenditure figures.

Part B: Financial Information; A breakdown of financial information for the required period.

The deadline for the return is June 30th following the end of the financial year (31st August). To complete the annual return, go to;

<https://portal.update-charity-details.service.gov.uk/group/dashboard>

Password: ECFFA2TJ

Communications, Meetings and Decision Making

Communication is key in any organisation, but even more so in a charity where trustees may not be involved in the day to day running of the business or have daily contact with staff and parents. As the 'registered provider' it is important that all stakeholders know who sit on the committee and how to contact them. In addition, it is of vital importance that the committee engage in communications with all stakeholders to ensure they are fulfilling their statutory duties.

It is important when engaging with families and employees to use a variety of communication tools;

- Notice boards – visual representations of the committee
- Group emails
- Committee newsletters
- Fundraising successes
- Open days
- Advertising of meetings and events
- Face to face opportunities i.e. spending time in the setting

Committee Meetings

Meetings are an effective way to discuss and make decisions about the charity. However, with the wide range of persons involved in the charity, different types of meetings should be planned throughout the year, so they can fulfil their purpose.

Trustee meetings: to discuss the management of the charity and to review its main objectives and activities. Trustees should meet at least termly and all trustees invited should receive a provisional agenda beforehand. Non-trustees may be invited to help advise the committee however will not be present during confidential matters or have voting rights.

General meetings: called when issues arise that require approval by the members of the charity. Anyone with membership to the charity is usually entitled to attend and have a vote.

Annual General Meeting: A general meeting called annually, with the specific purpose of presenting the members of the charity with the Trustees annual report and financial accounts for the previous year. This is usually when members are elected, re-elected or resign from their positions.

Open meetings: Open to anyone to attend and are used to informally discuss ideas, or convey information about a particular topic.

IMPORTANT

The charities constitution must be followed at all times when planning and conducting committee meetings. The constitution will state the notice to be given, the necessary quorum to be reached, how decisions are made, who is eligible to vote and how many votes they hold.

Failure to follow the constitution may mean decisions made are classed as void.

Minutes must be kept of all meetings and resolutions, including the date and time of meetings, attendance, information discussed, the resolutions proposed and decisions made. The minutes should be made available to all trustees. AGM minutes should be circulated more widely to all stakeholders at the trustee's discretion.

Myth Busting

There are many rumours and misconceptions made about the running of charities. The Pre-school Learning Alliance have created the below document to alleviate some of these myths.

MYTH: Changes cannot be made to a constitution

The Alliance will allow certain changes to a constitution, which is in line with the Charities Act 2011 and supports the aims of the individual charity. Charities simply need to contact the Alliance Information Service team for approval.

MYTH: Committee members are not trustees

There is no difference between a 'committee member' and a 'trustee'. Whilst charities can call on volunteers to help out, with occasional fundraising activities for instance, all committee members must register themselves as trustees.

MYTH: A minimum of five trustees is required

The Alliance will approve requests from member charities who wish to reduce the minimum of trustees from five to three; once agreement has been reached at a general meeting of the charity.

MYTH: Trustees must be parents of children attending the setting

Only 60% of the trustees must 'at the time of election' be parents of children who attend the setting. The remaining 40% can be other individuals or organisations who are interested in supporting the aims of the charity.

MYTH: Related individuals cannot be trustees

Each family of a child attending the setting counts as one member, therefore, one family member could be elected as a trustee through their family membership. For another individual from the same family to stand for election, they can be invited by the committee to become an affiliate member. Conflicts of interest may arise under such circumstances, so it is advisable for no more than one of the individuals to undertake an officer role and for one individual to abstain from any controversial votes.

MYTH: Without a chair, treasurer or secretary, settings must close

Settings should always aim to have all officer positions filled. But when this isn't possible, the charity can remain open whilst recruitment activities take place, and the remaining trustees undertake any important duties.

MYTH: General meeting must be called to replace trustees

Charities must call an Annual General Meeting, partly for trustees to stand down and be newly or re-elected. In-between AGMs, trustees can be replaced with interested family or affiliate members until the next AGM.

MYTH: Trustees must stand down after six years

The Alliance is able to approve the amendment of the constitution to allow trustees to remain in post for up to fourteen years, if it is in the charity's best interests.

MYTH: Only trustees should attend general meetings

General meetings must be open to all members of the charity including trustees, e.g. parents and other interested individuals who have affiliate membership.

MYTH: Staff cannot ever attend committee meetings

Staff have no right to attend committee meetings, as they should generally only be open to trustees. However, it is useful to invite key staff occasionally to a specific section of a committee meeting so that staff can feed into key policy decisions.

MYTH: Charities must re-register with Ofsted if their constitution changes

Constitutions for unincorporated associations only need to be registered with the Charity Commission. You only need to re-register with Ofsted if you change your legal structure e.g. from an unincorporated association to a charitable incorporated organisation.

MYTH: Setting managers can no longer be the nominated person with Ofsted

Setting managers can be the nominated person, however, Ofsted requires that they are also a member of the governing body, i.e. a charity trustee. This is only possible where the charity is running to a constitution which allows this, such as the Alliance

model constitution 2011. Contact the Alliance Information Service team for more details.

MYTH: Upon closing all remaining funds and equipment must be sent to the Alliance

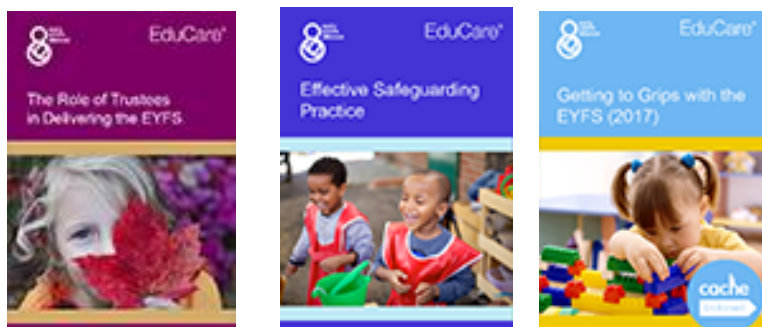
All charities, whether running to an Alliance constitution or not, must ensure their assets are transferred to a charity with similar aims. For Alliance constituted settings, whilst the decision to dissolve the charity is for the members (largely parents) to make, the trustees can decide on which like-minded charity to transfer their assets on to. Where a charity cannot be identified, the trustees can choose to transfer assets to the Alliance, who will ensure they are distributed according to the Charities Act.

MYTH: Charity assets can be transferred to a Charitable Incorporated Company (CIC)

CICs are not charities, and therefore cannot receive assets from a charity. For charities interested in incorporated status, the Charitable Incorporated Organisation (CIO) structure is suitable and can have the charity's assets transferred to it.

Trustee Induction Process

As a setting, as part of our insurance policy we have access to free on-line training through educare. This package is available to all employees and trustees. We actively encourage trustees to widen their knowledge through these short impactful courses to develop a thorough understanding of the early years sector and the part they play in this.



There is a wide range of subjects included in the training package however we ask all trustees to complete as a minimum;

Effective Safeguarding Practice (2019)

The Role of Trustees in delivering the EYFS

Getting to Grips with the EYFS

Policies and Procedures

The statutory framework for the early year's foundation stage (2017) states induction should include, safeguarding and child protection, emergency evacuation procedures and health and safety issues. We therefore insist all new employees, trustees and volunteers have read and understood all of our policies and procedures. Knowledge and understanding of these will be tested throughout their employment.

Induction forms part of the probationary period so we are seeking evidence that the individual has a good understanding of the settings policies and procedures, and actively seeks out further information to support them in role. The length of time induction takes is planned on an individual basis but would never exceed 6 weeks.

Support for Trustees

Support for trustees will be on-going, and will be dependent on the role.

- As part of the induction process trustees will be signposted to relevant early years documentation to support them in role.
- Trustees will be actively encouraged to visit the setting at least termly, to have the opportunity to speak with managers, employees, families and children.
- All trustees will have access to training across the early years themes and be encouraged to partake in this to better understand the statutory requirements of running an early year's setting.
- New trustees will be supported by more experienced trustees and be accountable to the registered person.

Name:	Start date:
Prior to starting	Date
Policies and Procedures sent electronically	
First week	Date
Introduction to trustees, and pre-school employees	
Issued with an electronic copy of the Committee File: Supporting Trustees in their Roles and Responsibilities'	
Completed the applicable starting forms, including those for the Charity Commission and Ofsted (DBS/EY2/EY3)	
First month	Date
Attended your first trustee meeting, to gain an understanding of the standards and quality of work required	
Read through and sign the trustee code of conduct.	
Completed a self-assessment of your skills and identified any areas where support or training is needed to assist you in your role.	

By the end of month 1	Date
Gained an understanding of the charity's governing document, policies and procedures.	
Gained an understanding of the charity's finances and any relevant financial procedures as they relate to your role.	
Been provided with the resources required to fulfil the role. Read and discussed key elements of the business plan, focused improvement plan and setting Intent statement.	
Been provided with key documentation such as, an introduction to the Early Years Foundation Stage framework and other relevant Ofsted publications.	
By the end of month 3	
Regularly attended and contributed at trustee meetings	
Contributed to the review and development of the focused improvement plan	
By the end of month 6	
Gained a good understanding of the charity's purposes, how it works, its financial position and current issues affecting the charity.	
Addressed any training needs or agreed an ongoing plan.	
Achieved key tasks set during your induction to the standard required.	
Demonstrated capability to meet the requirements of the role.	
Other: individual to employee	Date

Appendices	
Pre-school Constitution 2011	Pages 95 to 102
Self-nomination and declaration form for election as a trustee	Page 103
Self-assessment of skills form for new trustees	Pages 104 to 105
Trustee Code of Conduct	Pages 106 to 107
Sample Conflicts of Interest policy	Pages 108 to 111
Declaration of interest's form	Page 112
Trustee register of interests	Page 113
Exit interview questionnaire for retiring trustees	Page 114 to 116
Sample notice of meeting	Pages 117 to 118
Retention of records, how long documents need to be kept	Pages 119 to 120
Position of trust referral form (LADO)	Pages 121 to 124
Safeguarding Responsibilities for Registered Early years and Childcare Settings: Self Evaluation	Pages 125 to 148
Sample template for record of complaint	Pages 149 to 150
Safeguarding templates taken from the 'Yellow folder' including management of staff	Pages 150 to 168

Pre-school Learning Alliance
Model Pre-school Constitution 2011



1.0 Name

- 1.1 The name of the pre-school is PINVIN Community Preschool and is referred to in this Constitution as "the Pre-school". The Pre-school is a body in membership of the Pre-school Learning Alliance.

2.0 Aims

- 2.1 The aims of the Pre-school are to enhance the development and education of children primarily under statutory school age by encouraging parents to understand and provide for the needs of their children through community groups and by:
- (a) offering appropriate play, education and care facilities, family learning and extended hours groups, together with the right of parents to take responsibility for and to become involved in the activities of such groups, ensuring that such groups offer opportunities for all children whatever their race, culture, religion, means or ability;
 - (b) encouraging the study of the needs of such children and their families and promoting public interest in and recognition of such needs in the local areas;
 - (c) instigating and adhering to and furthering the aims and objects of the Pre-school Learning Alliance.

3.0 Powers

- 3.1 To further its aims the Pre-school has the following powers:
- (a) to provide accommodation and equipment;
 - (b) to raise money to pay for the Pre-school's activities;
 - (c) to make such payments as shall be necessary;
 - (d) to fix and collect the fees payable in respect of children attending groups run by the Pre-school;
 - (e) subject to adherence with all applicable legislation, to control the admission of children to the groups run by the pre-school and if appropriate, require parents or guardians to withdraw them;
 - (f) as a member of the Pre-school Learning Alliance to send an accredited representative to vote at local Branch and/or County meetings and to the national Annual General Meeting of the Pre-school Learning Alliance;
 - (g) to borrow money and to charge the whole or any part of the property of the Pre-school as security for any money borrowed subject to complying with the provisions of sections 38 and 39 of the Charities Act 1993 if it is proposed to mortgage land;
 - (h) to hire or acquire assets of any kind;

- (i) to buy, lease or rent any land or buildings and to maintain and equip it for the use of the Pre-school;
- (j) to sell, lease or otherwise dispose of all or any part of the Pre-school's property subject to complying with the provisions of sections 36 and 37 of the Charities Act 1993;
- (k) to set aside funds for special purposes or as reserves against future expenditure;
- (l) to maintain and pay for membership of the Pre-school Learning Alliance;
- (m) to insure the property and assets of the Pre-school against any foreseeable risk and to take out other insurance policies to protect the Pre-school as required;
- (n) to provide indemnity insurance to cover the liability of the Committee members which by virtue of any rule of law would otherwise attach to them in respect of any negligence, default, breach of trust or breach of duty of which they may be guilty in relation to the Pre-school provided that any such insurance shall not extend to any claim arising from any act or omission which the Committee members knew to be a breach of trust or breach of duty or which was committed by the Committee members in reckless disregard to whether it was a breach of trust or breach of duty or not provided also that any such insurance shall not extend to the costs of any unsuccessful defence to a criminal prosecution brought against the Committee members in their capacity as Committee members of the Pre-school;
- (o) to employ such paid and unpaid staff, agents and advisors as maybe required from time to time;
- (p) to do any other lawful things which are necessary or desirable to enable the Pre-school to achieve its aims.

4.0 Membership

4.1 Membership of the Pre-school is divided into two kinds:

- (a) **Family Membership**
Parents or guardians of all children who attend any group run by the Pre-school wishing to support the aims of the Pre-school. Each family holding Family Membership will count as one Member of the Pre-school and will be entitled to one vote at any General Meetings of Members of the Pre-school.
- (b) **Affiliate Membership**
Affiliate Membership is open to those individuals, organisations or other bodies interested in supporting the aims of the Pre-school. Affiliate Members may join at any time with the agreement of the Committee, but they will not be entitled to become an Affiliate Member until the Pre-school shall have received the subscription (if any) set by the Committee. An Affiliate Member will be entitled to one vote at any General Meetings of the Members of the Pre-school.

4.2 Membership of the Pre-school will cease if the Member concerned:

- (a) gives written notice of resignation to the Pre-school;
- (b) dies or in the case of an organisation ceases to exist;
- (c) fails to pay their membership subscription (if any), or in the case of Family Members fails to pay their Pre-school fees, within two months from the date on which it is due, in which case the Member will cease to be a Member with effect from the date on which the period of two months expires;

- (d) in the case of a Family Member the end of the last term in which any child or children of the Family Member attended any group run by the Pre-school;
- (e) is removed from membership by a resolution passed by a majority of the members of the Committee on the grounds that they have acted in a way which brings the Pre-school into disrepute or has failed to abide by the rules of the Constitution. Before the Committee decides whether to remove the Member, the Committee will give the member written notice of the misconduct or failure alleged to have occurred. The Member will have not less than 14 days in which to submit a written response to the notice. The Committee will have regard to this written response before making the final decision on whether or not to terminate their membership.
- (f) is an Affiliate Member whose membership is not renewed within 12 months of the date the subscription (if any) pertaining to their membership was set and received by the Committee.

4.3 Membership of the Pre-school is not transferable.

4.4 Individual membership status may change if the Member's circumstances change during the year from a Family Member to an Affiliate Member.

5.0 The Committee

5.1 The overall management and control of the Pre-school will rest with the individual members of the Pre-school's management committee ("the Committee"). As well as being responsible for the management of the Pre-school the Committee members are also the charity trustees of the Pre-school.

5.2 The minimum number of Committee members shall be 5 and the maximum shall be 12, together with up to a further 3 co-opted members. The Committee shall consist of:

- (a) a Chair, a Treasurer and a Secretary ("the Officers"); and
- (b) not less than 2 nor more than 9 other elected Members; and
- (c) if the Committee decides it can co-opt up to 3 further Members on to the Committee at any time after the AGM.

5.3 Not less than 60 per cent of the Committee members, including co-opted members, shall at the time of election or co-option be Family Members. In the event that this 60 per cent figure cannot be achieved, the Pre-school may elect Affiliate Members to make up the balance of the Committee subject to the Affiliate Members being approved by the Pre-school Learning Alliance.

5.4 Where an individual is elected as a Committee member it is that individual who is the Committee member and charity trustee and no other individual with whom they share Family Membership or Affiliate Membership shall be entitled to stand in their place at Committee meetings or have any other rights as a Committee member.

- 5.5 (a) The Committee members in 5.2(a) and 5.2(b) shall be elected for one year at the Annual General Meeting. Retiring Committee members are eligible for re-election unless they have already served on the Committee in any capacity for ten consecutive years.
- (b) Co-opted members in 5.2(c) may join at any time on the invitation of the Committee but shall retire at the next Annual General Meeting. No co-opted member shall serve for more than six consecutive years.

- (c) In the event of the death or resignation of an elected Committee member, the vacancy shall be filled until the next Annual General Meeting by a Family Member or an Affiliate Member appointed by the Committee.
- 5.6 All Committee members will have one vote each at Committee meetings. In the event of a tie the Chair of the Committee has a second or casting vote.
- 5.7 A quorum for Committee meetings is not less than half the Committee, including any two of the Officers.
- 5.8 All Members shall be eligible to stand for election to the Committee, except ordinarily a Member who is a paid employee of the Pre-school. A Member who is a paid employee of the Pre-school may however be eligible for election to the Committee subject to the following conditions being satisfied:
 - a) No Committee member may be paid for services provided to the Pre-school that form part of their duties as a Committee member and trustee of the Pre-school;
 - b) Any services which are provided by a Member who is a paid employee to the Pre-school must be the subject of a written agreement between the individual and the Pre-school on such terms as are considered by the Committee to be in the interests of the Pre-school and have been approved by a resolution of the Committee;
 - c) The amount of the remuneration for such services are what is reasonable in the circumstances and do not exceed the amount that is customarily paid by the Pre-school to other persons who are not Committee members for such services; and
 - d) Not more than a minority of Committee members may at any time be the subject of such arrangements with the Pre-school and no such Committee members shall vote on or sit in any Committee meeting at which any matters concerning any such agreement relating to the provision of their services to the Pre-school is considered by the Committee.
- 5.9 Not less than two weeks before the date of the next Annual General Meeting of the Pre-school at which the election of elected Committee members will take place each Member shall be sent a form which any Member wishing to stand as a candidate for election to the Committee must complete and return to the Secretary to indicate their willingness to act as a member of the Committee if elected.
- 5.10 At the Annual General Meeting the prospective new elected members of the Committee will be those candidates receiving the highest number of votes from the Members, up to a maximum of 12 elected Committee members in total. Candidates will need to notify their willingness to stand on the Committee to the Secretary.
- 5.11 At the first Committee meeting following the Annual General Meeting at which the newly elected members of the Committee are elected they shall choose from amongst their number the members who will act as Chair, Treasurer and Secretary.
- 5.12 The term of office of any Committee member will automatically cease:
 - (a) if he or she is not re-elected or re-appointed in accordance with the provisions of this clause 5;
 - (b) if they are disqualified under the Charities Acts from acting as a charity trustee;
 - (c) if they are incapable whether mentally or physically of managing his or her own affairs;
 - (d) if they resign (but only if at least 5 other elected members of the Committee will remain in office);

- (e) if they are removed from the Committee by a resolution passed by a majority of the members of the Committee on the grounds that they have acted in a way which brings or is likely to bring the Pre-school into disrepute or he/she has failed to abide by the rules of the Constitution. Before the Committee decides whether to remove the Committee member, the Committee will give him/her written notice of the misconduct or failure alleged to have occurred. The Committee member will have not less than 14 days in which to submit a written response to the notice. The Committee will have regard to this written response before making the final decision on whether or not to remove him/her from the Committee.

6.0 Proceedings of the Committee

- 6.1 The Committee shall hold at least 2 meetings each year unless the Committee shall decide by simple majority to hold a further meeting or meetings.
- 6.2 Every issue considered at Committee meetings may be determined by a simple majority of the votes cast at the meeting. A written resolution signed by all members of the Committee is as valid as a resolution passed in a meeting.
- 6.3 A Committee member must absent himself or herself from any discussions of the Committee in which it is possible that a conflict of interest may arise between his or her duty to act solely in the interest of the Pre-school and any personal interest (including but not limited to any personal financial interest) which the Committee member may have in the matter under consideration and take no part in any vote on the matter.

7.0 General Meetings

- 7.1 The Pre-school shall in each calendar year hold a general meeting as its Annual General Meeting, in addition to any other general meetings in that year and shall specify the meeting as such in the notice calling it. The Annual General Meeting in each year shall be held at such time and place as the Committee shall decide. All General Meetings other than the Annual General Meeting shall be Extraordinary General Meetings.
- 7.2 Each Annual General Meeting will be chaired by the Chair or in his/her absence another member of the Committee and which shall:
 - (a) receive the accounts of the Pre-school for the previous financial year;
 - (b) receive an annual report from the Committee;
 - (c) elect the new members of the Committee;
 - (d) transact any other business properly put to the meeting.
- 7.3 An Extraordinary General Meeting may be called at any time at the request of the Committee or not less than one quarter of the Members:
 - (a) The Secretary or Chair shall send notice of the date, time and place of each Annual General Meeting and any Extraordinary General Meeting, with a list of items to be discussed, to all Members at least two weeks before the date of the meeting.
 - (b) If the Committee do not call an Extraordinary General Meeting within two months of a proper request to do so, any Member may call the meeting by putting up a notice in a conspicuous place where the group meets at least two weeks before the meeting.

- 7.4 The quorum for a General Meeting shall be 10% of the Members or 5 Members, whichever is the greater. If fewer attend, a new meeting must be called at a time and place determined by the Committee. If at the adjourned meeting a quorum is again not present 1 hour after the time appointed for the meeting then the Members present shall constitute a quorum.
- 7.5 Proposals may be put to a General Meeting of the Pre-school by the Committee or any Member.
- 7.6 All proposals put to the vote at General Meetings shall be decided by a simple majority of votes cast, except proposals to amend this Constitution or to dissolve the Pre-school which shall require not less than two thirds of the Members present at the meeting to vote in favour.
- 7.7 No amendments may be made to this Constitution without the prior approval of the Pre-school Learning Alliance and where any amendment is to the aims of the Pre-school set out in paragraph 2.1 or to dissolution under paragraph 11; or which would authorise any financial benefit to be received by trustees or to this paragraph 7.7 this shall not take effect without the prior written consent of the Charity Commission. (In this paragraph a 'financial benefit' means a benefit, direct or indirect, which is either money or has a monetary value.)
- 7.8 A copy of any resolution amending this Constitution must be sent to the Charity Commission within 21 days of it being passed.

8.0 Property

- 8.1 If the Pre-school acquires an interest in any property, either as a freehold, lease or licence of any land or buildings, then this property interest will be held by individuals appointed by the Committee to act as holding trustees of the property on behalf of the Pre-school. These holding trustees may be members of the Committee, Members of the Pre-school, Member of staff or any other persons which the Committee may appoint. A holding trustee need not be a Member of the Pre-school. The holding trustees are not charity trustees and appointment as a holding trustee will not of itself make a holding trustee either a Committee Member or Member of the Pre-school. Where holding trustees are required to hold property on behalf of the Pre-school then there shall not be less than 2 or more than 4 of them appointed by the Committee at any time.
- 8.2 Holding trustees will hold office until:
- (a) death; or
 - (b) retirement with the consent of the remaining holding trustees; or
 - (c) removal by a resolution of the Committee; or
 - (d) removal by operation of the law
- but no retirement or removal shall be effective unless there will be at least two remaining holding trustees.
- 8.3 In the absence of fraud or wilful default the holding trustees are entitled to be indemnified out of the Pre-school's assets against any risks or expenses incurred by them in the exercise of their duty as holding trustees for the Pre-school.
- 8.4 The Committee may convene a meeting with the holding trustees at any time and shall do so within one month of receiving a request for such a meeting from a majority of the holding trustees acting for the Pre-school, provided that the subject matter of any meeting will be limited to discussing matters relating to the property held by the holding trustees for the Pre-school and its management.

9.0 Finance and Accounts

- 9.1 The Committee will ensure that the Pre-school complies with the requirements of the Charities Acts as to the keeping of financial records, the auditing of accounts and the preparation and transmission to the Charity Commission of:
- (a) annual reports;
 - (b) annual returns; and
 - (c) annual statements of account.
- 9.2 The accounting records shall, in particular, contain:
- (a) entries showing from day to day all monies received and expended and the matters in respect of which the receipts and expenditures took place; and
 - (b) a record of the assets held and any monies owed by the Pre-school.
- 9.3 At each meeting of the Committee the Treasurer shall normally present an up to date written statement of accounts to the Committee.
- 9.4 All accounting records relating to the Pre-school shall be available for inspection by any member of the Committee at any reasonable time during normal office hours and may be available for inspection by Members at the discretion of the Committee.
- 9.5 The Pre-school may open one or more bank accounts. All bank accounts will be in the name of the Pre-school.
- 9.6 Cheques and orders for payment of money from these accounts shall normally be signed by two designated persons, one of whom shall be an Officer. Where the Pre-school is not subject to any conditions of a grant which requires two signatories, the Committee may decide to allow cheques and orders for small amounts set by the Committee to be signed by a single signatory. A duplicate of all bank statements should normally be sent to the Chair.
- 9.7 The Committee may resolve to set aside income as a reserve against future expenditure but only in accordance with a written reserves policy.

10.0 Minutes

- 10.1 The Committee will keep minutes of all proceedings at all meetings of the Pre-school and of the Committee. The minutes shall record:
- a) the names of everyone present at the meeting;
 - b) the decisions made at the meetings;
 - c) where appropriate, the reasons for and any actions arising from the decisions; and
 - d) any other material details regarding the meeting.

11.0 Dissolution

- 11.1 If the Committee resolves that the aims of the Pre-school can no longer be fulfilled, the Committee will convene an Extraordinary General Meeting of the Pre-school to consider the winding up and dissolution of the Pre-school.

- 11.2 If the Extraordinary General Meeting referred to in paragraph 11.1 decides by a two thirds majority of the Members present and voting that the Pre-school should be wound up the Committee in consultation with the Pre-school Learning Alliance shall transfer all of the assets of the Pre-school (subject to the satisfaction of all debts and liabilities of the Pre-school) in accordance with paragraph 11.4.
- 11.3 If at the Extraordinary General Meeting a quorum is not present within 1 hour of the time appointed for the meeting then the meeting will be adjourned to the same day of the next following week at the same time and place. If at the adjourned meeting a quorum is again not present within 1 hour of the time appointed for the meeting then the Members present shall constitute a quorum
- 11.4 If the Pre-school is wound up or dissolved and after all of its debts and liabilities have been satisfied there remains any property or assets these shall not be paid or distributed amongst the Members of the Pre-school but shall be applied in one or more of the following ways:
- (a) transferred to the Pre-school Learning Alliance or, with the agreement of the Pre-school Learning Alliance, to another pre-school established as a charity whose governing instrument prohibits the distribution of income and property to an extent at least as great as is imposed on the Pre-school and whose objects are similar to those of the Pre-school; or
 - (b) in such other manner consistent with the charitable status of the Pre-school as the Pre-school Learning Alliance and the Charity Commission have approved in writing in advance.

12.0 Indemnity

- 12.1 Subject to the provisions of the Charities Acts, every member of the Committee shall be indemnified out of the assets of the Pre-school against any liability incurred by him/her in defending any proceedings, whether civil or criminal, in which judgement is given in his/her favour or in which he/she is acquitted or in connection with any application in which relief is granted to him/her by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of the Pre-school.

Pre-school Learning Alliance Membership Number

3239

This constitution was approved by the members of (pre-school name):

Pirvin Community Pre-School

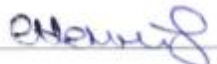
at a General meeting held on

28th November 2016.

Signed (Chair)



Signed (Secretary)



Pre-school Learning Alliance 50
Featherstone Street, London EC1Y 8RT
Tel: 020 7697 2595
Fax: 020 7700 0319
Email: info@pre-school.org.uk

Self-nomination and declaration form for election as a trustee

Nominee details

Name: _____
Address: _____
Telephone: _____ Email: _____

1. I wish to be elected as a trustee ☐
2. [I would also be interested in nominating myself for one of the following roles:
Chair ☐ Treasurer ☐ Secretary ☐ (you may tick more than one)]

If you would like to include a brief statement about yourself and why you would like to be elected as a trustee, please do so below:

I declare that I am eligible to be a trustee of [name of charity] and that:

- I am a member of the charity.
- I am 18 years or over/I am 16 years or over (for charitable companies and CIOs).
- I am capable of managing my own affairs.
- I am prepared to act in the best interests of the charity.
- I do not have an unspent conviction involving dishonesty or deception.
- I am not an undischarged bankrupt.
- I have not been removed from being a trustee because of misconduct.
- I am not disqualified from being a company director.
- I am not included on a barred list of individuals who are unsuitable to work with children and I understand I will need to submit to Ofsted checks, including an enhanced criminal records disclosure (DBS check), to determine my suitability.

Signature: _____ **Date:** _____

Pinvin memorial Hall, Main Street, Pinvin, Worcs. WR10 2ER

Registered charity number: 700766

Self-assessment of skills form for new trustees

The charity thrives because of the hard work and commitment of our volunteers. We understand that the active involvement and enthusiasm of volunteers is the most important factor to our success. We welcome applications from volunteers with a diverse range of skills and strive to accommodate the needs of those with no prior experience or qualifications; wherever possible, offering opportunities for personal development so that you find volunteering with the charity enjoyable and rewarding. In order to do so, we ask that you complete the form below, to provide us with an understanding of your current experience of, and confidence with, certain areas of the charity's work.

Name of trustee/nominee: _____

Address: _____

Telephone: _____ **Email:** _____

Please mark from 1 to 5 in the appropriate column to indicate your level of experience or knowledge, and your level of confidence in the following areas of work (1 = a little, 5 = a lot):

	Experience or knowledge	Confidence	Comments
Charity governance			
Administration			
Financial management			
Business management			
Strategic planning			
Fundraising			
Customer care			
Equality and diversity			
Project management			
Knowledge of the charity			
Staff recruitment			
Staff training			
Staff management			
The law			
Health and safety			
IT			
Marketing and PR			
Childcare sector			
Early Years Foundation Stage			

Are there any other skills or experiences that you can bring to the committee?

Are there any specific areas of the charity's work which you are interested in becoming involved in?

Do you need any training, support, special aids or arrangements to help you carry out duties?

Any other comments?

Pinvin memorial Hall, Main Street, Pinvin, Worcs. WR10 2ER

Registered charity number: 700766

Trustee code of conduct

The trustees of Pinvin Community Pre-school are jointly responsible for the control and management of the charity. This document outlines the expectations of trustees in carrying out their role.

Values and principles

- To act in the best interests of the charity and the children and families who access its services.
- To commit to achieving the aims of the charity and to act in accordance with the charity's governing document, policies and procedures to fulfil its objectives.
- To act prudently and with care when managing the finances, resources and operations of the charity.
- To commit to ensuring the charity provides quality childcare provision based on equality of opportunity and valuing diversity for all children and families.

Law

- To understand your legal responsibilities and to keep up-to-date with good practice; in order to ensure that the charity meets relevant statutory and legal requirements.
- To contribute to ensuring that all policies and procedures comply with relevant legislation.
- To ensure the childcare provision is operating within the requirements of the Early Years Foundation Stage framework.

Safeguarding and child protection

- To support the charity's commitment to safeguarding children.
- To follow the charity's safeguarding children and child protection policies and procedures, to ensure that all children in the care of the setting are protected from harm.

Meetings

- To aim to attend all trustee meetings; sending apologies in advance where possible.
- To play an active part in discussions and decision-making; exercising your own independent judgement, but understanding that decisions are collective.
- To ensure that any matters raised individually are brought to the attention of all trustees, where appropriate.
- To work effectively as part of a team with the other trustees, avoiding disagreements; expressing your own ideas, perspectives and opinions and in return respecting fellow trustees' views and experiences.

Conflicts of interest

- To avoid any potential conflicts between personal interests or loyalties and trustee responsibilities. Where identified, to bring these to the attention of the trustees and withdraw from taking part in any discussions or decisions in relation to these matters.

- To not misuse the role of trustee to gain preferential benefits or treatment.
- To not accept any gifts, hospitality, payments or financial benefit for being a trustee, except for reasonable expenses that have been approved by the trustees.
- To ensure permission is provided by the charity's governing document or the Charity Commission before receiving any payment for another role within the charity.
- Where another role is carried out for the charity, to agree to keep the two roles separate, and to withdraw from taking part in any trustee discussions or decisions in relation to the other role.

Confidentiality

- To respect the privacy of children, their families, employees and other trustees of the charity.
- To abide by the setting's confidentiality and information sharing policies and to only share information appropriately and when required.

Spokesperson

- As a spokesperson for the charity, to act professionally and only communicate information as agreed by the trustees.

Support

- To seek information, advice and guidance from relevant people or organisations as required.
- Where necessary, to undertake learning to ensure trustee duties are carried out effectively.
- To actively support the employees of the setting.
- To ensure that suitable inductions are arranged for all new trustees and employees.

Leaving the committee

- To give notice in writing to the trustees on wishing to resign. Where resignation would leave the charity unable to reach the minimum number of trustees, to remain on the committee until a suitable replacement is found.

The charity's obligations to trustees

- To be kept informed of the finances and any business activities relating to the charity and to be involved in the discussions and decision-making on these matters.
- To be informed in advance and given an agenda for all meetings.
- To have your views and opinions respected by fellow trustees.

As a trustee of Pinvin Community Pre-school I agree to abide by the fundamental values listed within this code of conduct.

Full name: _____

Position: _____

Signature: _____ Date: _____

Conflicts of interest policy

Policy statement

Our trustees have a duty to act in the best interests of Pinvin Community Pre-school (“the charity”) and must not use their position as a trustee to their own personal benefit. Conflicts of interest occur when a trustee’s personal interests, or the interests of an organisation or person connected to the trustee, have the potential to conflict with the interests of the charity. Trustees must avoid all situations that may possibly lead to a conflict of interest and also have a legal duty to declare any potential conflicts of interest between themselves (or a connected person or organisation) and the charity. Prior legal authorisation is also required in any situation where a trustee potentially stands to receive a material benefit from the charity.

The purpose of this policy is to provide a procedure for recognising situations which can lead to potential or actual conflicts of interest and to create a clear and transparent process for declaring and managing these conflicts. All prospective trustees are made aware of this conflicts of interest policy and, to encourage transparency, a copy is also made available publicly on the charity’s website.

Types of conflicts of interest

A conflict of interest can arise for a trustee in situations where there is the potential for:

- *Direct financial gain or benefit:* Circumstances that involve a trustee receiving a direct financial gain or benefit might include:
 - A paid employee of the charity becoming a trustee.
 - Employing a trustee to work in a paid post within the charity.
 - Paying a trustee, or an organisation which a trustee has a financial interest in, for services provided to the charity.
 - Paying a trustee for work they carry out as part of their trustee duties.
 - Selling charity equipment or land to a trustee.
 - A trustee providing a loan to the charity.
 - A waiver or reduction in childcare fees for a trustee.
- *Indirect financial gain:* This can include the employment of a trustee’s partner by the charity, as the trustee may benefit indirectly from their partner’s salary.
- *Non-financial gain:* A non-financial gain can include if a trustee is treated favourably when using the services of the charity, because they are a trustee, such as if they were given priority above other families when applying for childcare sessions.
- *Conflicts of loyalty or duty:* These might arise for trustees if:
 - A partner, relation or close friend is employed by the charity.
 - They are a trustee, employee or member of another organisation that has dealings, or may be in direct competition, with the charity e.g. for a funding bid.

Authorisation for a trustee to receive a benefit

Conflicts of interest are often created when a trustee stands to profit or personally benefit, either directly or indirectly, from the charity or their role. Explicit legal authority must be obtained from the governing document, the Charity Commission or a court of law before a trustee receives any financial or material benefit from the charity. There are limited circumstances where a benefit will not require authority i.e. reasonably incurred expenses. Benefits that are available to anyone and not just the trustees will also not generally need to be authorised. All benefits and payments to trustees are clearly detailed in the charity's accounts.

Procedure for dealing with conflicts of interest

- The charity maintains a trustee register of interests to help recognise potential conflicts of interest or loyalty for the trustees, recording information such as:
 - Sources of significant income of the trustees (not including the amount).
 - Significant business interests, including property holdings.
 - Membership or board positions in other organisations.
 - Significant participation in any form of a campaigning or political body.
 - Details of any third parties that the trustee deals with on a regular basis.
 - Relationships with any employees of the charity, or any potential employees, suppliers, service providers or funders to the charity.
 - Situations where the trustee has the opportunity to benefit, including whether authority has been obtained.
- Trustees are asked to complete a declaration of interest's form, disclosing any known interests which may conflict with the work of the charity, on invitation to join the charity as a trustee and annually thereafter to keep the trustee register of interests up-to-date.
- Significant interests for prospective trustees will be pointed out to the members at the time of trustee elections.
- The trustee register of interests is used at each trustee meeting to identify any items for discussion where there is potential for a conflict of interest to arise for any of the trustees.
- As not all conflicts of interest can be predicted in advance, trustees are asked to declare any potential conflicts of interest at the start of the meeting, and must withdraw from any discussions and voting on the matter concerned.
- To ensure transparency, the trustee is usually asked to leave the meeting at this point so that it cannot be claimed that they influenced the decision; although they may be asked to provide relevant information prior to this.
- Where a trustee withdraws from discussions due to a conflict of interest, they are not included in the quorum; whether they leave the room or remain present. If this makes the discussion inquorate, voting and decision-making on the matter is postponed until the next quorate meeting.
- The conflict of interest and the action taken are recorded in the minutes of the meeting.

The above steps to declare that a conflict exists and to withdraw from the discussion and any decision-making will usually be all that is required if the conflict of interest does not involve a possible material benefit to the trustee. However, if a trustee is receiving a material benefit, specific legal authority is required and the additional conditions below are followed.

Additional conditions relating to financial or material benefits

- The trustees who do not stand to benefit from an arrangement make the decision over whether it is in the best interest of the charity for a trustee to receive a financial or material benefit. The matter is recorded on the trustee register of interests and the trustee concerned has no involvement.
- In all cases where the trustees decide it is in the best interests of the charity, the trustees ensure they have the necessary legal authority before proceeding any further; making an application to the Charity Commission for authority in instances where the charity's governing document does not provide this.
- If legal authority is provided:
 - The number of trustees receiving a financial or material benefit from the charity at any time, either directly or indirectly through a connected person or organisation, are always in the minority.
 - A written agreement is drawn up to set out the arrangements between the trustee concerned and the charity, and is approved by the trustees who do not stand to benefit.
 - Any payments or financial benefits made to a trustee are reasonable for the service provided and do not exceed the amount that would normally be paid by the charity.
 - Trustees with a conflict of interest will not be permitted to sign contracts or invoices connected with the conflict.
 - Trustees who receive a financial benefit from the charity do not hold one of the Officer positions, as implementing the procedures required to manage the conflict of interest will make it difficult to fulfil certain duties connected to these roles.
 - The benefit is clearly recorded in the charity's Annual Report and accounts.

Each trustee is responsible for declaring any matters that may present any actual or potential conflict of interest. If any trustee is uncertain about what matters they should declare, they must raise the issue with the other trustees. The trustees will seek advice from the Charity Commission where necessary. The Charity Commission advice and any actions taken in following the advice will be recorded in the minutes.

The trustees must notify the Charity Commission if they find that a trustee is receiving an unauthorised benefit, or has not acted in the best interest of the charity. In these cases, the trustee concerned may be in breach of trust and could be liable to repay the value of the benefit to the charity.

Where a conflict of interest may damage the interests or reputation of the charity, the trustee may be asked to take steps to put an end to the situation causing the conflict; if necessary, by resigning as a trustee of the charity.

This policy was adopted at a meeting of Pinvin Community Pre-school

Held on: _____

Date to be reviewed: _____

Signed on behalf of the trustees of the charity:

Full name: _____

Position: _____

Signature: _____ Date: _____

Pinvin memorial Hall, Main Street, Pinvin, Worcs. WR10 2ER

Registered charity number: 700766

Declaration of interest's form

Registered charity number 700766

I, _____

as a trustee of Pinvin Community Pre-school ("the charity") have been given a copy of the charity's conflicts of interest policy and have set out below my interests in accordance with that policy:

Category	Please give details of the interest and whether it applies to yourself or, where appropriate, a relative or someone else with whom you have a close personal connection
Current employment and any previous employment in which you continue to have a financial interest.	
Appointments (voluntary or otherwise) e.g. trusteeships, directorships, local authority memberships, tribunals etc.	
Membership of any professional bodies, special interest groups or mutual support organisations.	
Gifts or hospitality (accepted or declined) offered to you from external individuals or organisations in the last twelve months.	
Any contractual relationship with the charity.	
Any other conflicts that are not covered by the above, such as land holdings.	

To the best of my knowledge, the above information is complete and correct at the time of making this declaration. I undertake to update as necessary the information provided, and to review the accuracy of the information on an annual basis. I give my consent for these details to be used for the purposes described in the charity's conflicts of interest policy and for no other purpose.

Full name: _____

Position: _____

Signature: _____ Date: _____

Trustee register of interests

This register of interests should be referred to at the beginning of each trustee meeting to identify any matters for discussion that could lead to a conflict of interest for a trustee. Please use in accordance with the conflicts of interest policy.

Date recorded	Name and position of trustee	Name of person who the interest relates to (if a connected person)	Description of interest (including the value of any transactions)	If there is opportunity for the trustee to benefit, is it authorised?

Exit interview questionnaire for retiring trustees

Name: _____

Role: _____

Date started: _____ Date leaving: _____

Date of interview: _____ Name of interviewer: _____

Reason for leaving: Resignation ☐ End of term of office ☐ Removal ☐

1. What were your expectations about volunteering as a trustee prior to starting?

2. How well do you think those expectations were met?

3. What did you like most about your role?

4. What did you like least about your role?

5. Was your workload: Too heavy ☐ About right ☐ Too light ☐ Varied ☐

6. During your volunteering, do you feel that the charity effectively:

	Always	Usually	Sometimes	Never
Clarified your responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inducted and supported new trustees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Distributed the workload amongst the trustees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communicated policies and practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Followed policies and practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstrated fair treatment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provided recognition for a job well done?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resolved complaints and problems promptly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managed and exercised control over finances?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managed the relationship with the charity employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. What have been the best aspects of volunteering for the charity?

(Please rank from 1 - 5, 1 being the highest score)

Interest in the role ☐

Environment/people ☐

Being valued ☐

Development/training opportunities ☐

Other (please specify) _____

8. What have been the most challenging aspects of working for the charity?

(Tick as many as appropriate)

Workload ☐

Limited/declining interest in the role ☐

Environment ☐

Lack of development/training opportunities ☐

Unnecessary bureaucracy ☐

Inappropriate management style ☐

Other (please specify) _____

9. Would you say morale among trustees was:

Excellent ☐

Good ☐

Fair ☐

Poor ☐

10. How did you view the prospects for development?

11. In which areas would the trustees benefit from receiving further development or training?

12. What steps, if any, could be taken to assist trustees in their role?

13. Was your decision to leave the charity influenced by any of the following:

End of term of office ☐

Type of work ☐

Lack of time ☐

Health ☐

Family/personal reasons ☐

Return to education ☐

Travel ☐

Other (please specify) _____

14. Are there any actions that the charity could take to persuade you to remain as a trustee?

15. Would you consider returning to the charity in the future?

Any further comments?

Pinvin memorial Hall, Main Street, Pinvin, Worcs. WR10 2ER

Registered charity number: 700766

Sample Notice of meeting

Notice is hereby given of [a meeting of the trustees/the Annual General Meeting of the members/a general meeting of the members]

Of [name of charity]

To be held at [address of meeting venue]

On [date of meeting]

Starting at [start time of meeting] and ending at [approximate end time]

Contents

- Agenda
- Minutes of previous meeting, held on [date]
- Self-nomination and declaration form for election as a trustee (*AGM*)
- [*For charitable companies, and other forms of charities where the governing document permits:*
Proxy voting registration form]
- [Details of any further documents that will be enclosed to inform the discussions of items on the agenda]

Agenda

1. Welcome and apologies.
2. Invitation to declare conflicts of interest.
3. To agree and discuss any matters arising from the previous minutes.
4. To receive a report from the chair (*trustee meeting*).
5. To receive an up-to-date financial statement from the treasurer (*trustee meeting*).
6. To receive a report from the manager of the childcare provision (*trustee meeting*).
7. To receive the Trustees' Annual Report for the year ending [date] from the charity trustees (*AGM*).
8. To receive the accounts of the charity and the independent examiner's/auditor's report for the year ending [date] (*AGM*).
9. To appoint the charity trustees for the upcoming year (*AGM*). A self-nomination and declaration form is enclosed and must be completed and signed by all those with an interest in becoming a trustee and returned to the secretary by [date].
10. To consider and vote upon the following proposed [special] resolution to amend the charity's governing document (*general meeting*). That clause [details of clause] of [details of governing document] be amended to read [new wording of clause].
11. To consider and vote upon the following proposed [special] resolution for the dissolution of the charity (*general meeting*). That the members hereby resolve that it is in the interests of the charity to be dissolved with effect from midnight on [date] and the trustees are hereby authorised and instructed on behalf of the charity to do all such things and to make such payments as shall be required to give effect to this resolution as the trustees shall determine.
12. Any other business.

13. Date of next meeting.

[The above list contains typical agenda items for different types of meetings. It is not a complete list and should be amended as appropriate to suit the purpose of the meeting and to include any requirements of the charity's governing document for business to be transacted.]

Please confirm your attendance and submit any proposals for additional items to be added to the agenda to the secretary by [date].

By order of the charity trustees

Name of secretary: _____ Date: _____

Registered office address: _____

Registered charity number: 700766

Retention of records, how long documents need to be kept

Retention periods for records	How long to be retained
Financial Records	
Accounting records	6 years from the end of the financial year for charities
Milk Forms	Keep with Annual Accounts 6 years
Funding Forms	Keep with Annual Accounts 6 years
Admin records	
Insurance Certificates	40 years from the date insurance commences.
Minutes/minute books	10 years from the date of the meeting for companies. 6 years from the date of the meeting for Charitable Incorporated Organisations.
Complaint Records	10 Years
Personnel records	
Personnel files and training records (including disciplinary records and working time records)	6 years after employment ceases
DBS checks	6 months
Interviewing paperwork (not employed)	6 Months
Pay/Salaries	
Wage/salary records (including overtime, bonuses and expenses)	6 years
Statutory Maternity Pay (SMP) records	3 years after the end of the tax year to which they relate
Statutory Sick Pay (SSP) records	3 years after the end of the tax year to which they relate
Income tax and National Insurance returns/records	At least 3 years after the end of the tax year to which they relate
Redundancy details, calculations of payments and refunds	6 years after employment ends

Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date the record was made
Accident/medical records as specified by the Control of Substances hazardous to Health regulations (COSHH)	40 years from the date of the last entry
Children's records	
Children's records – including registers, medication records and accident records pertaining to the children	<p>A reasonable period of time after children have left the provision (e.g. until after the next Ofsted inspection)</p> <p>Until the child reaches the age of 24 for child protection records</p>
Records of any reportable death, injury, disease or dangerous occurrence	3 years after the date the record was made
Children Registration Forms	If your group has got Pre-school Learning Alliance insurance, useful to keep 10 years
Register of Children	2 years
Children Profiles/Learning Journeys	Passed onto the next provider and parent or otherwise 1 year
Accident Book	2 years after date of last entry
Child Protection Records	Indefinite
Ofsted Reports	Useful to keep until next Ofsted inspection.
Notes of contacts from Early Years Advisor	Useful to retain to next Ofsted inspection
Health and Safety records	
Staff accident records (for organisations with 10 or more employees)	3 years after the date the record was made

Worcestershire Children First Position of Trust Referral

This form should only be completed when making a referral or seeking advice from the Local Authority Designated Officer (LADO) regarding a Person in a Position of Trust with children or young people. The referral form should be sent to the LADO within 24 hours of the incident occurring.

The LADO role provides advice and guidance to employers and voluntary organisations. In addition, they will monitor the progress of cases to ensure they are progressed in a timely and fair manner.

The following guidance is published by the Worcestershire Safeguarding Children's Board that should be followed: <http://westmidlands.procedures.org.uk/ykpzy/statutory-child-protection-procedures/allegations-against-staff-or-volunteers>

These procedures should be applied when there is an allegation or concern that any person who works with children or young people has:

- a. Behaved in a way that has harmed, or may have harmed, a child;
- b. Possibly committed a criminal offence against, or related to, a child; or
- c. Behaved towards a child or children in a way that indicates that they may pose a risk of harm to children.

This is in connection with the person's paid employment or voluntary activity. Consideration will also be given to concerns arising about the person's behaviour within their own family that may present a transfer of risk in their current role.

The LADO will screen the referral within 24 hours and provide feedback on your referral. Incomplete referrals will be sent back to the referrer to complete and return.

Upon completion of the Position of Trust Referral Form please email the referral form to

LADO@worcschildrenfirst.org.uk

Contact ---01905 846221

Personal information given to us is subject to the Data Protection Act 1998 and will be used to assess your needs and provide services if you are eligible. Worcestershire Children First reserves the right to share this information with external agencies who assist in the provision of services and any government departments who have a statutory right to such disclosure.

POSITION OF TRUST REFERRAL FORM OFFICIAL/SENSITIVE UPON COMPLETION

Upon completion of this referral email it to:
LADO@worcschildrenfirst.org.uk

1. DECLARATION	
I hereby certify that the following information that I have submitted in this referral is accurate, reflects my concerns and is completed to the best of my knowledge to ensure that children are appropriately safeguarded.	Yes <input checked="" type="checkbox"/>
Name: Title:	Date:

2. REASON FOR CONCERN	
<p><u>Instructions:</u></p> <p>Ensure you consider the following to explain the incident/allegation of harm/transfer of risk. :</p> <ul style="list-style-type: none"> - date/time of the behaviour - context of the behaviour - witnesses to the behaviour - frequency of the behaviour (e.g. kicked him 3 times) - duration of the behaviour (e.g. length of time a person was held) - latency of the behaviour or length of time before person took action) - observable injury - topography of the behaviour (how the behaviour looks e.g. fist, open hand) - impact of harm (e.g. child cried following incident) - the professional's family are subject to statutory social work intervention <p>Fill in the box below to detail your concern</p>	
<p><u>Description of the concern/incident:</u></p>	
<p><u>What steps have you or other agencies taken to mitigate against any potential harm at this time:</u></p>	
<p>Date you informed the person in the Position of Trust that you are making a referral to the LADO?</p>	

3. ABOUT THE PERSON IN THE POSITION OF TRUST

First Name		Last Name	
Address		Postcode	
Telephone		Gender	
Date of Birth		Religion	
Ethnicity			
Position Held			
Framework I reference number			

Does the Person hold any other positions e.g. voluntary roles, sports coach etc. If yes, please give details.

Have there been any previous concerns, complaints or disciplinary issues regarding this person?

4. About you (the referrer)

First Name		Last Name	
Name of Organisation		Job Title	
Email address		Telephone Number	
Relationship to person in a position of trust/ your agency's role or service provided		Contact address	

5. Details of Personal Relationships to the Person in a Position of Trust – their own children and Family Members / Significant Others.

First Name	Last Name	DOB/EDD/ Age	Ethnicity	Address & Telephone	Gender	Relationship to child	School or GP if different to Child

6. About the child who is the alleged victim. (If applicable and named child known)

First Name		Last Name	
Address		Post Code	
Telephone		Gender	
Date of Birth or Expected Delivery Date		If you do not know this information estimate the child's age	
Ethnicity		Religion	
Disability		Please state (see guidance for definitions)	
Interpreter Required? (If yes, state language)		Yes <input type="checkbox"/> No <input type="checkbox"/> Which language?	
Framework I reference number			

7. (FOR OFFICIAL USE ONLY) Date & Time referral has been sent to LADO	
Date of incident: Click here to enter a date.	
Date/time of referral received by LADO: Click here to enter a date.	
Date/time of response to the referrer:	
Recommendation or advice given by LADO	<ul style="list-style-type: none"> • What we are worried about? • What is going well? • What needs to happen?

For Agencies excluding schools:

Upon completion of the Position of Trust Referral Form please email the referral securely to:

LADO@worcschildrenfirst.org.uk

Safeguarding Responsibilities for Registered Early Years & Childcare Settings

Self-Evaluation

Name of setting	
Name of person completing the self-evaluation and their role	

This evaluation tool supports the leadership team in reviewing safeguarding policy and practice in the setting. It is intended that the DSL and/or member of the management team will use it to reflect on current practice and support ongoing evaluation and development. It is therefore important that the user focus on evidence and the impact of policies and procedures, rather than simply having them in place, in order for the tool to be effective, and best practice would be to complete the evaluation with staff members, as this supports a shared understanding, ethos and commitment.

It is acknowledged that, because the intention is to cover as many aspects of safeguarding policy and practice as possible, this evaluation tool is lengthy. Therefore, 'date of evaluation' is included at the end of each section to enable the user to complete different parts at different times.

Copyright applies, however users may alter and develop this tool in the interests of promoting safeguarding practice in their own setting.

Policies			
What are we looking for?	Note	Evidence	What do we need to do?
We have a policy which describes our approach to safeguarding and child protection.	Does your policy make a distinction between wider safeguarding concerns and child protection concerns which require referral to statutory services? Please see the Levels of Need threshold guidance for more information.		
Our policy has been reviewed within the last 12 months. There is a review date on the policy and the registered provider has ratified it.			
Our policy is in line with current local authority and Worcestershire Safeguarding Children Partnership guidance, and the current Early Years Foundation Stage Statutory Framework			

Policies			
What are we looking for?	Note	Evidence	What do we need to do?
Our policy is personalised.	Templates can be useful but cannot truly represent the practice of the setting, so should be personalised, for example with details of safeguarding leads, internet provider, referral pathways etc.		
The setting has a policy for the use, by staff, other adults and pupils of mobile phones, cameras and other hand held devices.			
Our policy is accessible to all adults working in the setting, to visitors and to parents.	Is it truly accessible to everyone, e.g. those whose first language is not English?		
Our safeguarding and child protection policy is aligned with other policies, for example health & safety, intimate care, whistle blowing, behaviour, and so on.	Where policies are separate, do they make references to associated policies.		
Date of evaluation			

Premises and Security			
What are we looking for?	Note	Evidence	What do we need to do?
Car parking and entry to the site is safe.	Consider the experience of children and families arriving at your setting (and leaving), is it easy to manage for those with small children? What about staff and visitors?		
Visitors and those new to the setting are provided with clear signage to the entrance.	If the reception point is clearly sign-posted, visitors are not wandering about the premises, so anyone doing so clearly raises and alarm.		
Entrances are locked and controlled.	So that visitors are greeted and checked and children cannot exit alone.		
There are agreements with neighbours and/or landlords over access to boundaries, hedges/fences e.g. to carry out maintenance work.			

Premises and Security			
What are we looking for?	Note	Evidence	What do we need to do?
There are site risk assessments that are created with the registered provider, and daily checks, e.g. outdoors, kitchen, bathroom areas.			
All visitors are asked to sign in (and out) and ID is checked.	Consider having the same robust procedure no matter who the visitor is and whether you know them, so that it becomes routine.		
Visitors are advised about safety information and what to do if they have any welfare concerns.			
Visitors are advised about the setting mobile phone/electronic device policy.			
The setting's internet service is provided by a fully accredited SP and accredited filtering is in place.	Consider giving visitors a badge, so that it is clear that they have been 'processed' correctly and that they are not staff members.		
There is a policy and procedure for both missing and uncollected children.			

Premises and Security			
What are we looking for?	Note	Evidence	What do we need to do?
There are robust arrangements in place for the receiving and handing over children at the start and end of the day, including procedures for registration and the arrival of those who are later or earlier than expected.			
Date of evaluation			

Safer working practices			
What are we looking for?	Note	Evidence	What do we need to do?
Ratio and qualification requirements are met at all times.			
There is a staff code of conduct.	This is not mandatory for settings, but supports a shared understanding of appropriate behaviours in and out of the setting, e.g. use of social media.		

Safer working practices			
What are we looking for?	Note	Evidence	What do we need to do?
Staff do not use their own devices for setting purposes and there are policies related to the appropriate use of setting devices.	E.g. using setting tablets to record observations and keeping these within the setting		
Policies and procedures are evaluated after incidents.			
There is a lone working policy and procedures, which provide staff with guidance when they are working without another adult present.			
There are policies and procedures providing guidance for staff who are involved in the intimate care of children, e.g. nappy changing.			
There is appropriate equipment for intimate care procedures and for feeding and sleeping.			

Safer working practices			
What are we looking for?	Note	Evidence	What do we need to do?
There is appropriate first aid equipment which is regularly checked.			
There is always an adult with a current paediatric first aid certificate on site and available to all parts of the setting.			
There is an appropriate policy and procedure for dealing with children who are ill or infectious.	Including handling bodily fluids and exclusion from the setting.		
There is an appropriate policy and procedure for the administration of medicines.	Procedures and records should include permission for specific medicines and dosage at specific times, and records of the administration of this, along with parent/carer final signature.		
Sleeping children are monitored effectively.	Are they within sight or hearing? How often are they checked? Is this recorded?		
There are separate toilet facilities for adults			

Safer working practices			
What are we looking for?	Note	Evidence	What do we need to do?
There are adequate toilets and hand basins, along with adaptive equipment if required, and children are appropriately supervised.	How do you know the provision is adequate? Can children use the toilet as soon as they need to? Is the level of supervision appropriate to the child's age and development?		
Date of evaluation			
Children's safety and wellbeing			
What are we looking for?	Note	Evidence	What do we need to do?
Children are safe and well cared for in the setting.	How do you know? Do they seem happy, confident and engaged in activities? Are they happy to approach staff when they are upset		
A key person system is implemented.	Is it effective? How do you know?		
Safeguarding policy and practice include consideration of how to support children's mental health.			

Children's safety and wellbeing			
What are we looking for?	Note	Evidence	What do we need to do?
The setting is alert to issues of concern in children's lives.			
There are rigorous systems in place for the prompt follow up of any absence from the setting.	Do you seek attendance information when children are attending other settings?		
The setting ensures that children are aware of behaviour towards them that is not acceptable and how they can keep themselves and others safe.	Consider helping children keep themselves safe both in the setting and beyond, e.g. setting rules, challenge behaviour that is unacceptable, talk about the 'pants rule'.		
Children are within sight or hearing at all times			
There is appropriate training for staff who work with children with complex and challenging needs, including behaviour management.			
Staff recognise that unwanted and challenging behaviour can be a result of adverse childhood experiences.			

Children’s safety and wellbeing			
What are we looking for?	Note	Evidence	What do we need to do?
There are appropriate risk assessments in place for children with complex and challenging needs.			
The setting actively involves other professionals as appropriate.			
Children have Individual Education Plans where appropriate.			
Looked after children have a Personal Education Plan.			
Date of evaluation			
Continuous professional development for those working in the setting			
What are we looking for?	Note	Evidence	What do we need to do?
All staff completed an induction process, which included safeguarding.			
Induction is recorded.	Consider the use of an induction pack as this provides information for the new colleague, as well as a record.		

Continuous professional development for those working in the setting			
What are we looking for?	Note	Evidence	What do we need to do?
All staff have completed safeguarding training at level 2 within the last 3 years.			
All volunteers, auxiliary staff, administrators have completed appropriate safeguarding training.	The level of training needed will depend on the nature of the role. Those who are on the premises while children are present should complete level 2 training, which includes identification of concerns, disclosure and reporting.		
Safeguarding leads and deputies have completed level 3 training within the last 2 years.			
The registered provider has completed level 3 safeguarding training within the last 3 years.	Where the registered provider is a committee or board, it is recommended that all members undertake some safeguarding training and one person takes the lead for the group and completes level 3.		

Continuous professional development for those working in the setting			
What are we looking for?	Note	Evidence	What do we need to do?
All staff have taken part in regular updates, at least annually.	<p>Things can change a great deal in two or three years, and those who are not consistently involved in managing safeguarding issues can become deskilled.</p> <p>Updates do not have to be formal training, they can be DSL-led workshops, research, discussion, guidance to read, and so on.</p>		
Safeguarding is on the agenda for all leadership and staff meeting and these happen at least quarterly.			
Dates of training and certificates are easily accessible and there is a training plan.			
Training is evaluated.	How do you do this? Do you look for the impact of training? What are you doing differently?		

Continuous professional development for those working in the setting				
What are we looking for?		Note	Evidence	What do we need to do?
The setting's policies and procedures include the duty to implement the Prevent Strategy.				
All staff have been received Prevent training or information.		How do you evaluate colleagues' understanding of prevent? E.g. promoting British values as part of this strategy.		
All those working with children have completed training or CPD on specific safeguarding issues	Child sexual exploitation	This can be part of the mandatory training at level 2 or 3, or can be in-house workshops led by the DSL, research projects and so on.		
	Female Genital Mutilation			
	The impact of domestic violence and abuse on children	This is not mandatory training but those working with children should have an awareness.		
	Adverse childhood experiences	It is important though to evaluate the impact of CPD, so can staff explain the issues/concepts and say how they would identify and report them?		
	Grooming			

Continuous professional development for those working in the setting			
What are we looking for?	Note	Evidence	What do we need to do?
We have looked at the learning briefings produced by the WSCP following serious case reviews and have considered how we can improve our knowledge and practice.			
All staff have regular supervision meetings and safeguarding concerns, progress with specific issues, etc. are included in the discussion.			
There is a lead for supervision and they have attended appropriate training.			
The DSL is able to access safeguarding supervision.			
Date of evaluation			

Roles and responsibilities			
What are we looking for?	Note	Evidence	What do we need to do?
All staff, SLT, volunteers and regular visitors know about and use the setting safeguarding procedures appropriately.	They have had the information, but how do you know that they would follow procedure in practice?		
Staff are aware of how to challenge decisions which they think may not be in the best interests of the child.			
Staff are able to identify concerns and know how to report them.			
Procedures are regularly discussed and evaluated e.g. in staff meetings.	If something doesn't go to plan, do you discuss this, evaluate your procedure and make changes?		
There is guidance around the setting.	Do you have procedures displayed on the wall, notice boards, and the back of the toilet door?		
A Designated Safeguarding Lead is available at all times.	For most settings it is necessary to have a deputy in place in case of absence, sickness and so on.		
All staff, volunteers, etc. know who the DSL is.			

Roles and responsibilities			
What are we looking for?	Note	Evidence	What do we need to do?
There is a clear line of accountability.	If there is more than one DSL, there should still be a lead who is ultimately accountable, and the role of the registered provider should also be considered. Does the DSL have the authority to make decisions and if necessary recommend and implement changes?		
The DSL regularly monitors concerns and outcomes.	Is there an audit process? Does record keeping show that action is always taken when there is a concern? This may be a referral but might be as simple as talking to a parent about whether a child has breakfast before coming to the setting.		
Staff know what to do if concerns arise outside working hours, and they know how to contact children's social care themselves.			

Roles and responsibilities			
What are we looking for?	Note	Evidence	What do we need to do?
All concerns have been discussed with parents/carers in the first instance (unless to do so would impede a police or social care investigation or place the child at further risk, in which case a referral should be made to children's social care).	Concerns should always be discussed with parents/carers as soon as possible unless there is good reason not to. Think of these as powerful conversations, not difficult ones, and a process of enquiry not an accusation.		
The registered provider is aware of the established child protection procedures and understand their own role within them.	This would include all members where the registered provider is a committee or board, and where this is the case, best practice would be to nominate lead for safeguarding.		
The DSL reports regularly to the registered provider regarding the safeguarding workload, number of open files, meetings attended and so on.			
Date of evaluation			

Record keeping			
What are we looking for?	Note	Evidence	What do we need to do?
<p>The setting records the following information for each child:</p> <ul style="list-style-type: none"> • Full name • Date of birth • Name and address of every parent and carer known to the setting • Information about those who have parental responsibility • Who the child normally lives with • Emergency contact details 	<p>Finding out about a child's home life, who has responsibility for them, who they live with etc., is not 'nosy', but an example of professional curiosity which helps safeguard children.</p>		
There is a record of all safeguarding concerns.			
Children's records are separate (from other children's records and their other records, e.g. their development files).	Files should be separate in order to control access.		
Files are cross referenced, e.g. the development file has a 'flag' which indicates a safeguarding file.			
Safeguarding files are available in the setting, but kept securely and access restricted.			

Record keeping			
What are we looking for?	Note	Evidence	What do we need to do?
Records contain sufficient detail to enable the DSL to make informed decisions and take appropriate action.	Is there enough descriptive information which describes the care and condition of the child? Watch out for words like 'inappropriate', 'unusual', 'inadequate'. Is the impact on the child described? What about the 'child's voice'? Good record keeping results in good responses.		
Blank forms are available to all adults working in the setting.			
Safeguarding files include all relevant information.	Chronology, concerns forms, copies of referrals, notes from phone calls, etc.		
Chronologies are used.			
Archived files are kept until the child's 26th birthday.			

Record keeping			
What are we looking for?	Note	Evidence	What do we need to do?
There is a policy and procedure regarding the transfer of files to new settings, which are in line with recommended safeguarding practice and data protection requirements.			
Incidents are reported to Ofsted in line with the requirements of the EYFS			
Date of evaluation			

Recruitment and staffing			
What are we looking for?	Note	Evidence	What do we need to do?
The registered provider has successfully completed safer recruitment training, and there is a trained interviewer on all interview panels for all posts.	Have any other staff completed safer recruitment training?		
Selection process include examination of individuals' values and attitudes as well as knowledge and skills.			

Recruitment and staffing			
What are we looking for?	Note	Evidence	What do we need to do?
Selection processes include an application form rather than reliance on a CV.			
All relevant checks (e.g. DBS/barred lists, references) have been made before a new member of staff takes up a post.			
References are obtained from previous employers, including the most recent.			
Where two appropriate references cannot be obtained, as risk assessment is completed and alternative measures employed.			
Eligibility to work in UK has been checked.			
Qualifications are checked.			
A record is kept of the DBS check, right to work, qualifications, training completed, references, and so on.	This should include all staff. Volunteers, leadership teams, and so on, and where necessary regular contractors.		

Recruitment and staffing			
What are we looking for?	Note	Evidence	What do we need to do?
There is a policy and procedure for managing allegations against adults working with children and this is consistent with local authority guidance and procedures.	All adults, e.g. including volunteers?		
The registered provider understands what constitutes an allegation and knows what to do if an allegation is made.	It is the registered provider's responsibility to deal with allegations.		
The registered provider has attended training on managing allegations.	Has anyone else had the opportunity to attend training?		
Policy and procedures include allegations against the registered provider.			
All members of staff are aware of the procedure for responding to and managing allegations against staff, and are clear about how to report and record any concerns they may have.	How can you be sure?		
Date of evaluation			

Website			
What are we looking for?	Note	Evidence	What do we need to do?
<p>The setting website includes:</p> <ul style="list-style-type: none"> • Safeguarding tab • Statement of the setting's ethos and values • Safeguarding/child protection policy • Support for parents, e.g. online safety guidance • Other associated policies such as behaviour, complaints, and so on 			
<p>The setting has appropriate procedures in place to ensure that any images of children used within publications, publicity, on web sites are appropriate and are only used where full parental consent has been obtained.</p>			
Date of evaluation			

SAMPLE TEMPLATE FOR RECORD OF COMPLAINT

Date of complaint:

A: Source of complaint:

Parent (in writing, including email)

☐

Staff member

☐

Parent (in person)

☐

Anonymous

☐

Parent (telephone call)

☐

Ofsted

☐

Other

☐

B: Nature of complaint:

(Reference the EYFS Safeguarding and Welfare Requirements or Childcare Register Requirements)

Please give details of the complaint:

C: How the complaint was dealt with:

Internal investigation

☐

Investigation by Ofsted

☐

Investigation by other agencies

☐

(please state)

Please give details of any internal investigation or attach any outcome letter from Ofsted:

D: Actions and outcomes:

Internal actions

Actions agreed with Ofsted

Changes to conditions of registration

Other action taken by Ofsted

No action

Actions imposed or agreed with other agencies

Please give details:

Has a copy of this record been shared with parents? Yes/No

Name of recorder:

Date:

Position:

Outcome notified to parent:

Name:

Date:

Signature:

CONFIDENTIAL – Record of Allegation of Abuse

Member of staff who is subject of allegation

Name	
Address	
DOB	
Position	

Person making allegation

Name	
Relationship to the child	
Made in writing or verbally?	

Child's details

Name	
Age and DOB	
Address	
Parent/carer name and address if different from above	

Details of alleged incident/s

Date of alleged incident/s	
Nature of allegation	
Other relevant information	

Was alleged perpetrator present on the date of incident/s?	
Did the child attend childcare provision on this/these date/s?	
Actions	
Name of contact at Family Front Door/LADO	
Date and time	
Date and time Ofsted informed	
Further actions advised by Children's Social Care and/Ofsted	
Person completing this form	
Name	
Position	
Date	
Signature	

CONFIDENTIAL – Safety and Welfare Concern Form

Child's name:	D.O.B.
Concern Date:	Concern Time:
Staff Name: Print	Signature
Staff Role:	
Details of concern/incident - <i>factual record – who/what/where/when</i> <i>(continue on reverse of sheet if necessary):</i>	
Any other relevant information (<i>witnesses, immediate action taken</i>)	

PASS THIS FORM IMMEDIATELY TO THE DSL

DSL response/action taken	
Signature	
Date/time	

Shared with parents – date/time	
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CONFIDENTIAL – Safety and Welfare Concern Form (2)

Child's name:		D.O.B.	
Concern Date:		Concern Time:	
Staff Name:		Signature	
Staff Role:			
What's working well	What are we worried about	What needs to happen	
The child's voice			

PASS THIS FORM IMMEDIATELY TO THE DSL

DSL response/action taken	
Signature	
Date/time	

Shared with parents – date/time	
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CONFIDENTIAL – Safety and Welfare Concern Continuation Sheet

Incident /concern; other relevant information; action taken; outcome

Child's Name:

D.O.B.

Date

Details

Actions

Signature:

CONFIDENTIAL – Individual File Chronology

[illegible]

CONFIDENTIAL – Individual Chronology (2)

Name of Child:		Date of birth:		
Date/time	Event – disclosure/observation/meeting etc.	Actions	Supporting documentation	Staff initials

CONFIDENTIAL – Individual File Front Sheet

Tick as appropriate: Child Protection <div style="border: 2px solid orange; width: 60px; height: 40px; margin: 10px auto;"></div>	Tick as appropriate: Child in need <div style="border: 2px solid orange; width: 60px; height: 40px; margin: 10px auto;"></div>	Tick as appropriate: Early Help <div style="border: 2px solid orange; width: 60px; height: 40px; margin: 10px auto;"></div>	
Childs name:		D.O.B.	
Date record started			
Any other names by which child known, if relevant			
Address including postcode:			
Family members i.e. parents / carers / siblings:			
<i>Name</i>	<i>Relationship</i>	<i>Address</i>	<i>Setting / School</i>

Contact details of other professionals (e.g. key social worker, GP)		
<i>Name</i>	<i>Agency</i>	<i>Contact details</i>

Other than normal registration and development files, are there other files related to this child?

Child protection/SEN/ safeguarding file of another related child

YES/NO

If yes please specify:

Transfer Form for Child Protection Records between Educational Establishments	
(Please print all information)	
Name of Child	
Date of Birth	
Unique reference number (schools only)	
Home Address	
Name of originating establishment	
Address of originating establishment	
Name of current Child Protection Lead	
Date file exchanged by hand	
OR Date file posted by special delivery	
OR Date information received electronically	
Name of receiving establishment	
Address of receiving establishment	

Name of receiving Child Protection Lead	
Date file received by hand	
OR Date received by recorded delivery	
OR Date information received electronically	
Signature of receiving Child Protection Lead	
Date of receiving	

Upon receipt, the receiving setting should:

- Sign this form and keep a copy with the child's child protection records
- Ensure the original form is returned to the originating establishment without delay.

The originating establishment should keep the returned form securely

Safeguarding Training Record

Name	Role	Training for practitioner		Training for DSL		Safer recruitment		Managing allegations		Prevent & British values	
		Date	Due date	Date	Due date	Date	Due date	Date	Due date	Date	Due date

Health Declaration for Early Years and Childcare Workers

Name	
Address	
Date of Birth	
<p>I declare that, to the best of my knowledge, I am currently medically fit to work with young children.</p> <p>If I should subsequently develop any medical condition which affects my fitness and which may affect my ability to care for children, I will inform my Employer at once.</p>	
Signature	
Date	

Conviction/Determination/Caution Declaration for Early Years and Childcare Workers

Name

Address

Date of Birth

Details of conviction/determination/caution

Date of order

Detail of order

(conviction/determination/caution order)

Body / Court who made order

Sentence imposed (if any)

Certified copy of relevant order

Original seen: YES / NO

Original date seen:

Date Information passed to Ofsted (must be within 14 days) *

I declare that I have not had any convictions, determinations or cautions since my DBS (CRB) disclosure was undertaken. If I should subsequently receive a conviction or caution I will inform my employer at once.

I declare that to the best of my knowledge; I do not live with a person who would be disqualified as a childcare provider. (Childminders and childcare on domestic premises only)

Signature:

Date:

Safeguarding Lead Supervision Notes	
DSL Name	
Date of supervision	
Date of last supervision	
Supervisor	
Today's agenda	
Actions agreed from last supervision	
1	
2	
3	
4	

Discussion points from today's meeting:

Update from previous meeting

Main points from today's meeting

Identified training needs

Concerns

Further discussion points

Reflection

Analysis

Agreed actions from today's meeting	
1	
2	
3	
4	
Staff signature	
DSL signature	
Review date	

Safer Recruitment Record Sheet									
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[illegible]

Minutes log

We recognise that minutes may often contain confidential or personal data. We therefore ensure we distribute minutes electronically via email, ensuring all parties receive these in a timely manner. Minutes are then stored on the business's 'cloud' storage, with restricted access. To ensure minutes can be found quickly when required, please log where these are stored below.

Date of meeting	Type of meeting and supporting documents	Stored;