



Safeguarding Records Audit (School Copy)

Name of education setting:

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Part 1 Organisational Safeguarding Arrangements for Record Keeping

	Column A <u>Safeguarding practice standard and descriptors</u> Minimum statutory requirements and best practice in accordance with KCSiE and other related statutory and local guidance.	Column B <u>Evidence/examples of how these duties are being met?</u> This column where DSL/DDSL team can provide examples to evidence their S/C practice and decide on what RAG rate it meets.	C RAG rate	Column D Use this column to outline initial actions and timescales. It would be good practice to ensure updates are made to these at regular intervals to ensure there is a live overview to progress of individual actions/single elements of an action that requires multiple stages.
	Systems	Evidence/examples?		Action required and by when?
1	It is essential in order to safeguard children and meet their needs, that school/college (S/C) should recognise the importance of information sharing between practitioners and local agencies, including ensuring arrangements are in place that set out clearly the processes and principles for sharing information e.g., • within the S/C staff community • local authority children's social care, • safeguarding partners and • other organisations, agencies, and practitioners as required. information sharing advice for safeguarding practitioners Part one, two and five KCSiE	We have a safeguarding and child protection policy that includes clear information-sharing procedures. Staff receive annual safeguarding training, understand reporting processes, and record concerns on the school's safeguarding system. The Designated Safeguarding Lead (DSL) works effectively with children's social care, safeguarding partners and external agencies, ensuring information is shared promptly to support and protect children		
2	S/C have a centralised and standardised recording system to keep accurate and contemporaneous records of concerns. Records are stored securely, and DSL should ensure the file is only accessed by those who need to see it. This system should be easily accessible to all staff with 'permissions' and available in a range of places, e.g., in the staff room.	The school uses CPOMS as its centralised safeguarding recording system to record concerns accurately and promptly. Access is secure and managed through different permission levels, ensuring that staff only have access to information relevant to their role. All staff are able to record concerns, while the DSL and safeguarding team oversee, monitor and share		

		information appropriately on a need-to-know basis. Safeguarding procedures and reporting processes are communicated to all staff through training and safeguarding information displayed in key staff areas		
3	S/C keep concerns and referrals in a separate child protection file for each child.	CPOMS ensures everything is kept separate		
4	The DSL is responsible for ensuring that safeguarding files are kept up to date. Records should include: - a clear and comprehensive summary of the concern - details of how the concern was followed up and resolved - a note of any action taken, decisions reached and the outcome.	Staff have all been trained on this and examples of logs looked at and improvements discussed.		
5	S/C staff should be proactive in sharing information as early as possible to help identify, assess, and respond to risks or concerns about the safety and welfare of children, whether this is when problems are first emerging, or where a child is open to Children's Services. Staff must share safeguarding records of concern securely with the DSL.	All staff are trained to identify and report safeguarding concerns at the earliest opportunity. Concerns are recorded securely on CPOMS and are immediately shared with the DSL and safeguarding team. The DSL monitors concerns, takes appropriate action, and liaises with Children's Services and other agencies when required. CPOMS uses role-based permissions to ensure safeguarding information is shared securely and accessed only by staff who need to know. Records are maintained accurately and chronologically to support effective safeguarding practice.		
6	S/C provide at induction and safeguarding training what the arrangements are in place for staff to record concerns and child protection disclosures.	Safeguarding procedures, including how to record concerns and disclosures, are shared with all staff during induction and reinforced through annual safeguarding training and regular		

		updates. Staff record concerns on CPOMS, which are reviewed by the DSL and safeguarding team		
7	Visitors – contractors, governors and parents are informed about how to report a concern and who to pass this to.	Visitors, contractors, governors and volunteers are provided with safeguarding information on arrival, including the identity of the DSL and the procedure for reporting concerns.		
8	S/C have a recording system that extends to any outside third parties using the S/C premises. This should ensure safeguarding reporting/arrangement requirements are included in any transfer of control agreement (i.e., lease or hire agreement), as a condition of use and occupation of the premises and it is made clear that failure to comply with this would lead to termination of the agreement.	The school ensures that organisations and third parties using the premises are informed of safeguarding expectations through hire or lease agreements, which include safeguarding reporting requirements and expectations for compliance.		
9	Managing concerns and allegations against staff/volunteers, that meet harm test or low-level concerns see Part four KCSiE 2023 , must not be recorded on pupil's records but S/C have a robust and secure confidential system in place.	Concerns or allegations relating to staff or volunteers, including low-level concerns, are managed in line with Part Four of KCSiE and are recorded securely on confidential staff records in Staff Safe, separate from pupil files. Access is restricted to appropriate senior leaders and safeguarding personnel.		
	Transferring safeguarding records	Evidence/examples?		Action required and by when?
10	Where children leave the S/C the DSL ensures their child protection file is transferred to the new S/C: - within 5 days for an in-year transfer or - within the first 5 days of the start of a new term to allow the new S/C to have support in place for when the child arrives. The DSL ensures secure transit, and confirmation of receipt is obtained. The CP file is transferred separately from the main pupil file.	The DSL ensures that child protection files are transferred securely and separately from the main pupil file when a child moves school. Files are shared within statutory timescales, receipt is obtained from the receiving school, and all transfers are recorded. Where appropriate, the DSL liaises directly with the receiving DSL and SENCO to ensure continuity of support and that safeguarding, SEND and welfare needs are understood.		
11	The receiving S/C should ensure key staff such as DSLs and special educational needs co-ordinators	The DSL liaises with the new school to ensure key points are understood.		

	(SENCOs) or the named persons with oversight for SEND are aware as required. See Herts Grid For Learning Safeguarding records			
12	In addition to the transferring of the CP file, the DSL should also consider if it would be appropriate to share any information with the new S/C in advance of a child leaving. For example, information that would allow the new setting to continue supporting children who have had a social worker and been victims of abuse, or those who are currently receiving support through the 'Channel' programme and can have that support in place for when the child arrives.	The DSL also considers whether additional safeguarding information should be shared in advance to support vulnerable pupils, including those with current or previous social worker involvement, Child Protection Plans, Early Help support, SEND needs, or those receiving support through the Channel programme.	  	
13	If files are not transferred 'for a number of reasons' S/C have a clear retention policy. NB see retention of records below.	Where a child leaves to become electively home educated and there is no receiving school, safeguarding and child protection records are retained securely in line with the school's records retention schedule and data protection requirements. These records remain accessible should they be required by Children's Services, other agencies, or if the child subsequently joins another educational setting.	  	
Archiving		Evidence/examples?		Action required and by when?
14	Secure and appropriate system to archive with restricted access. If S/C have electronic files, there needs to be clearly set out in the agreement with the company about archiving of sensitive data.	We maintain safeguarding records securely through CPOMS and ensure that access is restricted to authorised staff according to their safeguarding role and level of responsibility. Child protection files are transferred securely to the receiving school when pupils move setting, with confirmation of receipt obtained and recorded. Where records are transferred, a copy is not routinely retained unless required in accordance with statutory guidance and the school's retention schedule.	  	
15	If the setting is a secondary school or college, arrangements are made for archiving if the child is not moving on to Further Education.	N/A	  	

16	The storage, retention and destruction of child protection files is made clear in S/C data management policy. IRMS Schools Toolkit - Information and Records Management Society	The school's Data Protection and Records Management procedures clearly outline the storage, retention, archiving and destruction of safeguarding records in line with IRMS guidance and statutory requirements. Where a pupil leaves education without a receiving school (e.g. Elective Home Education), child protection records are archived securely with restricted access and retained in accordance with the school's retention policy. Arrangements for the secure archiving of electronic safeguarding records are included within agreements with external system providers		
	Auditing	Evidence / examples?		Action required and by when?
17	Headteacher/DSL to audit Record of Concern-and-action-form-proformas-2023-2024 Example & Guidance-for-record-of-concern-and-action-forms-2023-2024 regularly to ensure that procedures are being followed and good practice standards of record keeping are being kept. This should be regular and recorded, when carried out.	The Headteacher and DSL undertake regular audits of safeguarding records and CPOMS entries to ensure concerns are recorded accurately, actions are timely, and record-keeping standards are consistently maintained. Audit outcomes are documented and used to identify strengths, areas for development, and any staff training needs.		From September, the school will implement the Record of Concern and Action Form to further strengthen the consistency and quality of safeguarding recording and auditing processes
18	Ratification of whole S/C standards of record keeping is shared with staff in order to encourage whole school staff ethos of continuous improvement and where applicable, for individual staff learning and development to improve on practice and identify any training needs.	Outcomes from safeguarding record audits are shared with staff through briefings, training updates and safeguarding meetings to promote consistent, high-quality record keeping across the school. Feedback from audits is used to celebrate good practice, identify areas for improvement and inform individual or whole-school training needs. This supports a culture of continuous improvement and ensures staff understand expectations for recording and reporting safeguarding concerns accurately and promptly.		
19	Record auditing should be part of the S/C wider safeguarding organisational practice and scheduled in alongside other routine self-evaluation tasks.	DDSL and DSL meet and DSL and safeguarding governor meet regularly to audit records		

20	Outcomes of record audits shared with the full Governing Body/Trustees.	Findings from safeguarding audits are shared with staff as appropriate to promote a culture of continuous improvement and are reported to Governors through safeguarding reports and monitoring activities. Safeguarding record audits form part of the school's wider safeguarding self-evaluation cycle.		
	Data protection	Evidence/examples?		Action required and by when
21	S/C is aware of, and are compliant with, the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR) that places duties on all organisations and individuals to process personal information fairly and lawfully and to keep the information they hold safe and secure. Chapter one of Working Together to Safeguard Children (DfE 2023) which includes a myth-busting guide to information sharing Information Sharing: Advice for Practitioners Providing Safeguarding Services to Children, Young People, Parents and Carers. The seven golden rules for sharing information will be especially useful. The Information Commissioner's Office (ICO), which includes information about your obligations and how to comply, including protecting personal information, and providing access to official information. Data protection toolkit for schools - Guidance to support schools with data protection activity, including compliance with the UK GDPR.	We comply with the Data Protection Act 2018 and UK GDPR, ensuring that personal information is processed lawfully, stored securely, and accessed only by authorised personnel. Staff receive guidance on information sharing, confidentiality and safeguarding responsibilities in line with statutory guidance and the school's data protection procedures.		
	Subject Access Requests	Evidence/examples?		Action required and by when
22	Clear processes and procedures for dealing with subject access requests with regard to safeguarding	We have clear procedures for managing Subject Access Requests (SARs) , including requests relating to safeguarding		

	information and S/C requirement to keep records and the right to request access Pupil Safeguarding Records for Educational Establishments (chapter 7)	records. Requests are referred to the school's Data Protection Officer (DPO) for advice and oversight to ensure that information is shared appropriately and lawfully. The school recognises the balance between an individual's right to access their personal data and its duty to protect children and maintain confidential safeguarding records. Staff seek guidance from the DPO where there is any uncertainty regarding the disclosure or redaction of safeguarding information. Safeguarding records are managed in line with the school's data protection procedures and statutory safeguarding guidance.		
	Single Central Record (optional if requested)	Evidence/examples?		Action required and by when?
23	The school maintains a compliant Single Central Record (SCR) that is reviewed and updated regularly. The SCR is held securely and includes all required pre-employment checks for staff, governors, volunteers, contractors and trainee teachers, as applicable. The Headteacher and admin staff are responsible for maintaining the SCR, with oversight from the DSL and safeguarding link governor. Safer recruitment processes are in place and all relevant checks are recorded promptly on the SCR	A monthly audit is undertaken by the safeguarding link governor, with findings reported to the Governing Body. The Deputy Headteacher/Deputy DSL provides additional oversight through periodic spot checks. Any discrepancies identified are addressed immediately and actions recorded.	  	

Enter any action onto the summary plan at the end of the audits or you can use column D to track and update as necessary

Part 2 Individual casework and the role of the DSL/DDSL

	This column sets out minimum standard of pupil record keeping and sharing information.	
	Does the child's main school file clearly have an indicator that corresponds with there being a separate confidential/safeguarding file in existence? Is the case status for the child clear? Were all necessary information/documents in relation to this transferred to the safeguarding file when it was opened? <u>There should be no safeguarding information in the open general file.</u>	The school maintains all safeguarding records electronically through CPOMS, providing a centralised and secure system for recording, monitoring and managing safeguarding concerns. All relevant safeguarding information is held within the child's confidential safeguarding record, including: • Staff records of concern. • DSL actions, analysis and decision-making. • Chronologies of significant events. • Agency referrals and responses. • Social care reports and correspondence. • Minutes from multi-agency, Child Protection, Child in Need and Team Around the Family meetings. • Records of telephone conversations with parents, carers and professionals. • Relevant emails and written communications. • Risk assessments, RAMPs and Safety Support Plans. • Reviews, outcomes and follow-up actions. The CPOMS safeguarding file clearly identifies the child's case status and provides a comprehensive chronology to evidence the child's safeguarding journey. Demographic information, family circumstances, parental responsibility arrangements, communication requirements, known risk factors and details of professionals involved with the family are recorded and updated as changes occur.
	Does the file have a clear and concise front sheet? Does the order/set up of the actual file corroborate with this?	
	Does the file have clear demographic information about the child and their family? i.e full names, DOB, address, including addresses where they may live part time, ethnicity, additional needs, communication needs of parents/carers? This should include all persons living in their family home and key adults/persons involved in their care/influence family home life that the school are aware of. Where there are issues or specific requirements when communicating or sharing information with parents i.e Child Arrangements Order, Prohibited Steps Order, separated parents, is this clear in the file? Is there a clear section where risk factors i.e family having fled DV can be recorded so that information does not get shared with those who may present a risk? Is there evidence that this information has been updated in a timely manner if and when changes have occurred for the child?	
	Is the record up to date? Records should reflect meetings/updates having taken place regularly in line with the timescales set by the LA i.e minutes of core group meetings 4-6 weeks	

	Does the file contain details of any other professionals/agencies working with the child? Does the file contain copies of all referrals made, reports for social care/multi-agency meetings and minutes of those meetings? Does the record evidence that SLT/DSL have attended statutory/multi-agency meetings as well as providing reports? Were the school have been allocated actions/pieces of work as part of a multi-agency/statutory plan are these clearly recorded in the file with clear updates and outcomes of those actions?	DSLs routinely review safeguarding records to ensure concerns are responded to promptly, actions are completed within required timescales, and outcomes are recorded. Records evidence professional analysis, multi-agency working, referrals, parental involvement where appropriate, and the wishes and feelings of the child. N/A at present but where Risk Assessment and Management Plans (RAMPs) or Safety Support Plans are required, copies are stored within the safeguarding record and reviewed regularly. Updates are made following significant events, changes in risk, or advice from partner agencies to ensure effective oversight and risk management. All safeguarding documentation is held within the confidential electronic safeguarding system, ensuring there is no sensitive safeguarding information stored within general pupil records. Access is restricted through role-based permissions to maintain confidentiality and comply with data protection requirements
	Are records of concern clearly visible in the file? Are they dated and concerns outlined clearly? Are any follow up conversations held between the DSL and the staff member recorded in the file? Does the file evidence feedback (where appropriate) was given to the member of staff by the DSL? Is the DSLs analysis and decision following this information clearly in the file, and dated so it collates to this event of sharing information? Actions should be specific and have timescales. Does this evidence DSLs reviewing information and responding in a timely manner? Was there evidence of delay? What was the reason for this? Does the file evidence the outcome of any referral made by the DSL following this event? i.e referral to an agency/Children's Services?	A clear and concise chronology is maintained within CPOMS, providing an overview of significant events, actions, decisions and interventions relating to the child.
	Where referrals/requests have been made for the child/family, does the file evidence the DSL gaining consent/seeking views or contribution by the parents/carers? Does this also evidence the child's wishes and feelings where appropriate?	
	Does the file evidence the DSL working collaboratively with other agencies/professionals to gain advice and support in relation to any concerns when appropriate? Referral/s or request for early help to other agencies including Children's Services, are made when there has been an identified need.	
	Does the record have a clear and concise chronology?	

	Does this include all significant events/decisions in relation to the child and is easily understood to provide a 'journey' of the child to an outside reader i.e Ofsted? Does the chronology evidence impact on the child? Do dates in the chronology corroborate the actual main file i.e dates of reports, CP meetings etc?	
	Is there a record of telephone calls/emails/ discussions with parents/professionals?	
	Does the record show oversight and management of risk posed to the child by themselves/other child? - If a child RAMP or Safety Support Plan is in place, is there a copy in the file? - Does the file evidence timely reviews of this plan in line with the action plan? - Does the file evidence the DSL reviewing this plan in response to any significant events or changes to the risk to always ensure effective oversight? - Does the file evidence the DSL seeking views and professional opinion from multi-agency partners i.e Children's Services, PPU, CAMHS etc to ensure the assessment is fully informed and tailored the child/risks to the child? <u>RAMP/Safety Support Plans should be updated in response to both increased and decreased risk</u>	• The chronology includes all key safeguarding and child protection concerns, referrals, meetings, assessments, outcomes and professional decisions, allowing an external reader (e.g. Ofsted) to easily understand the child's journey and the school's response over time. • Chronology entries demonstrate the impact of actions and interventions on the child and record outcomes where appropriate. • Dates recorded within the chronology correspond with the main safeguarding record, including reports, referrals, Child Protection meetings, Child in Need meetings and other multi-agency involvement. • Records of telephone calls, emails, meetings and discussions with parents, carers and professionals are logged and attached to the relevant CPOMS entries. • Supporting documents are uploaded to CPOMS and linked to the appropriate incidents and chronology entries, ensuring that records are complete, accessible and auditable. This ensures that safeguarding records are accurate, comprehensive and provide a clear narrative of support and intervention for the child.
	Does the record show oversight and management of risk posed to the child/children in the setting by an associated adult? - If there is an adult RAMP is there a copy in the file? - Does the file evidence timely reviews of this plan in line with the action plan?	Safeguarding records held on CPOMS evidence the child's voice throughout the chronology, records of concern, direct conversations, welfare check-ins, meeting notes and DSL actions.

	- Does the file evidence the DSL reviewing this plan in response to any significant events or changes to the risk to always ensure effective oversight? - Does the file evidence the DSL seeking views and professional opinion from multi-agency partners i.e Children's Services, PPU, Probation, Change Grow Love (Spectrum) etc to ensure the assessment is fully informed and tailored to the risks? - Does this evidence inclusion of the adult subject to the plan? And appropriate feedback to them preferably in a meeting? <u>RAMP/Safety Support Plans should be updated in response to both increased and decreased risk</u>	The child's wishes, feelings, views and lived experiences are recorded wherever appropriate and considered when decisions are made about support, referrals and safeguarding interventions. The safeguarding record demonstrates how the school takes account of any additional needs, including SEND, communication needs, developmental stage, emotional wellbeing and family circumstances, ensuring that the child's views are obtained in a way that is appropriate and accessible to them.
	Does the file evidence the child's voice? - What does this look like? - Is this evident throughout the file in conjunction with all significant events/decisions made about the child? How does the file evidence the school's consideration of any additional needs the child may have? It is clear how they have ascertained the child's views?	Records evidence:
	Overall does the file evidence: - tenacity and professional curiosity in following up concerns and referrals? - DSL ability to pick up and act upon pattern of accumulative risk and identify appropriate actions - Sound decision making, appropriate responses and referrals in a timely way?	• Professional curiosity and tenacity in following up concerns, seeking updates and escalating concerns where necessary. • DSL oversight and identification of patterns, cumulative risk and emerging vulnerabilities. • Timely decision-making, referrals and appropriate safeguarding responses. • Clear rationale for actions taken or decisions not to make referrals. • Regular review of concerns, risk and protective factors.
	Where the setting has disagreed or challenged another agency/professional decision, is this clearly recorded in the file with a rationale? Does the record evidence this is done in a professional manner, with the child's needs being paramount? Is an outcome of this recorded?	
	Records show clearly feedback/outcome of any actions taken to safeguard the child, e.g. DSL/DDSL spoke to parents for clarification, a child protection referral made or recorded decision why one was not required.	
	Multi-agency work carried out with partner agencies.	Where the school has challenged or escalated concerns with another agency, this is recorded within CPOMS, including the rationale, actions taken, professional discussions and outcomes. Records demonstrate that challenges are made professionally and with the child's welfare as the primary consideration.

		<i>The safeguarding file clearly evidences outcomes of actions taken, including discussions with parents, contacts with professionals, referrals to Children's Services and other agencies, and subsequent responses. Multi-agency working is fully documented through agency reports, meeting minutes, professional correspondence, emails, telephone records and agreed action plans, providing a comprehensive record of support and intervention for the child and family</i>
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The DSL and Deputy DSL review all safeguarding records submitted on CPOMS before they are marked as closed or recorded as requiring no further action. This process ensures that records are regularly quality assured and meet the school's expected standards.

Where appropriate, records are amended or supplemented to improve clarity, accuracy and completeness. Feedback is provided to staff where necessary to support and improve the quality of record keeping. Any recurring themes, learning points or areas for development identified through these reviews are shared with staff and inform ongoing safeguarding training and practice.

This regular monitoring process provides effective quality control and helps ensure that safeguarding records remain comprehensive, professional and child-centred.

Part 1 Organisational Safeguarding Arrangements for Record Keeping

Number/safeguarding practice standard and descriptor	RAG rating	Action and development required	Timescale	Name and position of person responsible
From September, the school will implement the Record of Concern and Action Form to further strengthen the consistency and quality of safeguarding recording and auditing processes		To use the Record of Concern Action Forms.	Starting in September	Anja Tyler and Julia Beaven DSL and DDSI

Part 2 Individual Casework and the Role of the DSL/DSL

Number/safeguarding practice standard and descriptor	RAG rating	Action and development required	Timescale	Name and position of person responsible

Part 3 Whole School Staff Recording – Record of Concerns [IN DRAFT – USE EXISTING AUDIT]

CPSLO Comments and Recommendations

Name of CPSLO/s:

Date:

CPSLO comments on audit finds and identified actions outlined by education setting:

Any additional comments: