



A Introduction

Working Together 2015 sets out that LSCBs must monitor and evaluate what is done by the Local Authority and board partners individually and collectively to safeguard and promote the welfare of children and advise them on ways to improve.

This audit tool is designed to assist organisations and the BSCB in monitoring and evaluating compliance in respect of their statutory obligations under Section 11 of the Children Act 2004. This places a duty on key persons and bodies to make arrangements to ensure that in discharging their functions, they have regard to the need to safeguard and promote the welfare of children.

B How to complete the toolkit

The toolkit contains eight key areas of work covering the following areas:

1. Leadership
2. Recruitment and selection
3. Policies and procedures
4. Training and development
5. Effective practice with children and families.
6. Contracting with third parties
7. Learning from reviews
8. Information sharing

Providing information and evidence against each of these areas will help demonstrate how effectively your organisation is meeting the duties set out in Section 11.

Within these 8 sections we have added a small number of specific questions which relate to our Board priorities and to other statutory duties. As well as strengthening your evidence against Section 11 requirements, this will also provide the Board with further assurance in these areas.

For the 2016 Section 11 process, specific questions have been added on:

- **Early Help and Thresholds** (including use of Outcome Star and Graded Care Profile): BSCB Priority
- **Child Sexual Exploitation:** BSCB Priority and new statutory duty under Working Together 2015 for the BSCB to make an annual appraisal of the effectiveness of the local response to CSE.
- **Prevent:** Duty introduced in the Counter Terrorism and Security Act 2015. This requires all prescribed bodies, in the exercise of their duties, to have due regard to the need to prevent people from being drawn into terrorism.

- **Female Genital Mutilation:** This is a new area of work for the Board where we are still collecting information on current practice.
- **Equality, diversity and cultural awareness:** Identified as an area for improvement in the recent peer review of the local authority.

Within each of these eight areas we have included a short description of why this work is important to safeguard children, and listed the type of activity we would expect to see. The list is not exhaustive, but is intended to assist when providing evidence of how the requirements of s.11 are put into practice locally.

The toolkit should be used to highlight areas of strength as well as areas for development.

The guidance notes at the back of this document provide some examples of the types of evidence you might want to include in each section. **When completing each section please include examples where possible. Please also try and focus on the impact and outcomes that have been achieved for your staff, your organisation as a whole and for children, young people and their families.**

C Self-Assessment Rating and Action Plan

Blue:	Everything is in place and fully embedded. There is evidence of outstanding and / or innovative practice that go beyond the minimum requirements to meet the S11 duty and there good evidence of impact and outcome.
Green:	Everything is in place, up to date and requirements under S11 are being met.
Amber:	Something requires review or improvement.
Red:	Something needs to be developed as a matter of urgency.
N/A:	Not Applicable (please explain if you are using this rating)

If your organisation assesses itself as red or amber, areas for development need to be recorded, along with a timescale for completion.

Remember that all actions you plan to undertake should be SMART.

Specific
Measurable
Achievable
Realistic
Time scaled



Date audit commissioned by the BSCB	
Date for completion	
Return to	Matilda Moss, Business Manager BSCB (moss@buckscc.gov.uk)
Organisation / Service	
Board Member	
Person(s) completing audit within organisation (if different from above)	
Contact details	

The Self-Assessment Toolkit

1. Senior managers take leadership responsibility for safeguarding children and safeguarding is embedded within the organisation.				
<i>Rationale - organisations should have in place arrangements which reflect the importance of safeguarding and promoting the welfare of children.</i>				
<ul style="list-style-type: none"> • There is a clearly identified lead for safeguarding with sufficient seniority to take overall responsibility for the organisation’s safeguarding arrangements. • There is a clear accountability framework which enables all staff to understand their role in safeguarding children (e.g. detailed in job descriptions, highlighted through training). • The organisation takes an active part in BSCB Meetings and sub groups as relevant. • There are identified processes for disseminating safeguarding updates (national and local) within the organisation for example learning from audits and serious case reviews. • Safeguarding issues are routinely discussed at relevant internal meetings. 				
Evidence of impact and outcomes				
Actions Required			Lead	Timescale
Current Rating				
□	□	□	□	□

2. Organisations have policies and procedures in place to support effective working.

Rationale – Good policies help staff do their job more effectively by setting out individual responsibilities in relation to safeguarding children. Procedures clarify the steps to be taken in specific circumstances e.g. if a service user makes an allegation. Policies should be regularly reviewed, promoted among the workforce and easily accessible to staff.

- The organisation has a Safeguarding Children Policy which is reviewed on an annual basis. (Guidance available at: www.bucks-lscb.org.uk/bscb-procedures/local/)
- This policy can be easily accessed by all staff, and provides clear, straightforward guidance on how to recognise and respond to possible abuse or neglect.
- There is an organisational whistle-blowing policy which encourages staff to report poor practice.
- There are clear written procedures for dealing with situations where allegations of abuse are made against someone working within the organisation.
- Allegations concerning individuals who work with children are referred to the LADO (Local Authority Designated Officer) as appropriate.
- There are processes for recording incidents, concerns, allegations and referrals in relation to children and this includes recording the action that results. Records are monitored and available on request.
- Staff are aware of and can easily access the [BSCB Escalation and Conflict Resolution Procedure](#).

Evidence of impact and outcomes

Actions Required	Lead	Timescale

Current Rating

□	□	□	□	□
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3. Safe recruitment of staff and volunteers

Rationale – organisations must have in place recruitment and selection procedures which help to identify people who want to – and are suitable – to work with children and families.

- Safe recruitment practices are in line with the advice set out in [the BSCB Safer Recruitment Toolkit](#) to ensure the proper selection of staff who will have regular contact with children.
- If an individual (paid worker or volunteer) is removed from work which involves children (or would have been removed if the person had not left first) then a referral is made to the Disclosure and Barring Service.
- The organisation has a register of all volunteers within the organisation including a clear record of all those who require DBS checks.
- Supervision arrangements are in place for all volunteers working with children and young people.
- The organisation has a Visitor Policy setting out requirements around access and supervision, and this includes reference to celebrities and fundraisers.

Evidence of impact and outcomes

Actions Required	Lead	Timescale

Current Rating

□	□	□	□	□
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4. Training, Learning and Development

Rationale - Employers are responsible for ensuring that staff are competent to carry out their responsibilities for safeguarding children. This includes ensuring they have access to training, learning and development opportunities relevant to their role.

- Safeguarding awareness training is mandatory on induction for all staff who will have contact with children and families. This induction should cover familiarisation with child protection responsibilities and how to recognise and respond to possible abuse or neglect.
- Training pathways / individual training plans are in place for those staff members who will have more in depth contact with children. Additional training is proportionate and relevant.
- An understanding of thresholds and Early Help is embedded within relevant staff training.
- An appropriate level of training and awareness raising is provided around equality, diversity and cultural awareness, Child Sexual Exploitation (CSE), Prevent and Female Genital Mutilation (FGM).
- Training records are maintained and can be monitored / audited on request.
- Training and its impact on safeguarding is evaluated.
- Appropriate supervision and support is available for staff working with children.
- There is a named lead for Safeguarding Children who can be contacted by staff for support and advice when dealing with safeguarding issues.

Evidence of impact and outcomes

Actions Required	Lead	Timescale

Current Rating

□	□	□	□	□
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5. Effective Practice – how services respond to and engage with children and their families

Rationale – To ensure children and young people are protected from harm, staff must be able to identify need, report concerns and work together with other professionals to provide an appropriate and timely response.

- [Thresholds](#) are understood and applied effectively where staff are working with children.
- In line with the BSCB [Early Help Strategy](#), staff intervene early to prevent problems escalating and are active in supporting families to access appropriate services.
- Agreed Early help assessment tools (Outcome Star and Graded Care Profile) are used appropriately within the organisation.
- Staff participate in multi-agency meetings and assessments to safeguard children.
- Children and families influence the way services are designed and delivered.
- Children and their families are fully involved in plans to safeguard their welfare, and individual case decisions are informed by their wishes, feelings and experiences.
- Information on how to complain is readily available for children and their families. Complaints are monitored and used to improve services.
- Professionals are culturally aware and services are responsive to individual need to help all children achieve the best possible outcome regardless of race, faith, gender, disability, sexual orientation, socio-economic status.
- Organisations understand how communities are changing over time and ensure services for children and their families are responsive to this.
- Internal audits cover safeguarding practice.

Evidence of impact and outcomes

Actions Required	Lead	Timescale

Current Rating

□	□	□	□	□
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6. Contracting with other organisations

Rationale – it is commonplace for public sector organisations to enter into contracts with other providers to deliver work on their behalf. Under the requirements of s.11, any services or functions provided in this way by other organisations must also be discharged with regard to the need to safeguard and promote the welfare of children.

- Safeguarding is integrated into all contractual processes with clear expectations and reporting requirements to prevent abuse and neglect.
- This must include a whistle blowing policy which all staff are aware of, that will assist them in escalating concerns and reporting poor practice

Evidence of impact and outcomes

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Actions Required	Lead	Timescale

Current Rating

□	□	□	□	□
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7. Sharing and storing information

Rationale – Effective safeguarding relies on appropriate information being shared between agencies in a timely manner.

- There are arrangements which set out clearly the processes for sharing information with other professionals where this is necessary to protect children from harm.
- Details of these arrangements for sharing information are covered in induction and embedded into other relevant training.
- Training and guidance on information security is available for staff; staff are compliant with record keeping policies including the security of personal information.
- Records are stored securely and safely and there are clear processes in place to ensure that records are retained as required. Your records retention policy takes account of the need to access information which may be required to undertake Case Reviews and Serious Case Reviews.

Evidence of impact and outcomes

Actions Required	Lead	Timescale		
Current Rating				
□	□	□	□	□

8. Learning from Reviews

Rationale – Professionals and organisations need to reflect on the quality of their services to children and learn from their own practice and that of others. Good practice should be shared so there is a growing understanding of what works well. Conversely when things go wrong there needs to be a rigorous, objective analysis of what happened and why, so that lessons can be learnt and services improved to reduce the future risk of harm.

- There are clear processes for taking part in reviews of cases; including gathering evidence, completing action plans and embedding any learning.
- Learning from reviews, inspections and other serious incidents is disseminated among staff.

Evidence of impact and outcomes

Actions Required	Lead	Timescale		
Current Rating				
□	□	□	□	□

Guidance Notes and Examples of Evidence

Below are some examples, which may be useful when thinking about how to evidence the ways in which your organisation complies with the requirements of s.11. They are intended as a guide only and are not an exhaustive list.

Examples of evidence that can be used to demonstrate compliance with the requirements of s.11

1. Senior managers take leadership responsibility for Safeguarding Children. Safeguarding is embedded within organisations.

Evidence:

- Name / details of the board level lead for safeguarding children.
- Description of processes used to disseminate safeguarding updates (newsletter, email, intranet, refresher training events etc), audience and reach.
- Describe process by which employees are enabled to understand their role in safeguarding children (e.g. in job description, in safeguarding children policy or via line management supervision)
- Detail organisation's attendance at BSCB and Sub Groups and any areas of BSCB work where your agency has taken the lead or made a significant contribution.
- Information on any internal meetings which have safeguarding issues included on the agenda for discussion and what difference this is making.

2) Organisations have policies in place to support effective working

Evidence:

- Safeguarding children policies are in place. Details on the date of the last review. Details on how staff are able to access these policies.
- Details of whistle-blowing policy including date of last review.
- Information on procedures used to respond to allegations against staff.
- How the organisation monitors incidents, concerns and referrals.
- Information on how staff are made aware of the Escalation procedure.
- Policies used to support inter agency working; where these are located and steps taken ensure staff are aware of and working to these policies

3) Recruitment of Staff and Volunteers

Evidence:

- Details of safer recruitment policy / practices
- Details of Disclosure and Barring Policy and any referrals made.

4) Training and Development

Evidence:

- Outline of the induction process and training for new starters; information on the content of induction training and that it meets all the requirements.
- Information on how staff training is recorded

- Details of training available for staff, including multi agency training; details of safeguarding training pathways.
- There is guidance regarding individual or group supervision; evidence that senior managers monitor supervision.

5) *Effective Practice – how workers engage children and their families*

Evidence:

- How thresholds and the principles of Early Help are being embedded into practice and the difference this is making.
- Whether and how your organisation is using the Family Outcome Star and Graded Care Profile – for example how many have been completed, have staff received sufficient training, is the Outcome Star management data being used as a performance management tool, examples of outcomes achieved.
- How regularly are staff working with children and families attending meetings / panels in relation to individual children (for example, core groups, child protection conferences, child in need meetings etc)
- Ways in which service users are involved in providing feedback and can contribute to the development of plans.
- How complaints are monitored and examples of improvements or changes made as a result of complaints.
- Work / changes that have taken place to ensure services are responsive to local demographic changes.
- Examples of how services are provided in a way that is responsive to individual need.
- Examples of internal safeguarding audits and the outcomes of these.

6) *Contracting with other organisations*

Evidence:

- Details of processes in place to ensure that any services which are commissioned are also s.11 compliant.

7) *Sharing and storing information*

- Details of the guidance used in the organisation.
- How guidance and training, on information sharing, is made available to staff (both on induction and for existing staff).

8) *Learning from Reviews*

- Details of reviews which the organisation has participated in
- How learning is shared throughout the organisation and the impact this has had.