

Appendix 2

Gloucestershire Section 11 Self Assessment Audit Tool Standards for safeguarding and promoting the welfare of children

Name of Agency or Organisation	
Audit Completed By	
Contact Details	
Date Returned	

Introduction

The tool has been updated by Gloucestershire Safeguarding Children Board during 2017 to incorporate local issues and themes. The audit tool uses a model of self evaluation by partner agencies to help identify areas of good practice and areas that need to be improved.

The key organisations operating within Gloucestershire that are covered by the duty to safeguard and promote the welfare of children and young people are:

- The Local Authority and District Councils that provide children's and other types of services, including children's and adult social care services, public health, housing, sport, culture and leisure services, licensing authorities and youth services
- NHS organisations, including the NHS Commissioning Board and clinical commissioning groups, NHS Trusts and NHS Foundation Trusts
- The police, including police and crime commissioners and the chief officer
- British Transport Police
- The Probation Service
- Community Rehabilitation Companies
- Governors/Directors of Prisons and Young Offender Institutions
- Directors of Secure Training Centres
- Principals of Secure Colleges
- Youth Offending Team

Appendix 2

When completing this tool, there must be clear evidence provided for the ratings that are given. For example, wherever possible the rating should be backed up with data or qualitative evidence arising from audit/internal quality assurance processes. The GSCB may ask for further evidence to support the rating that has been given if it is not clear from the information that has been provided.

Standard 1: Organisational Safeguarding Responsibilities are Clearly Stated					
Evidence Required	Not Met	Partly Met	Fully Met	Rating	Supporting Evidence and Action Being Taken
1.1 – Each agency has a named person with overall responsibility for safeguarding arrangements (Please state their name and job title)	There is no named person with overall responsibility for safeguarding within the organisation.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There is a named individual with overall responsibility for safeguarding within the organisation. (please provide name and job role in the evidence/comments field)		
1.2 – Staff and volunteers within the organisation know who the named person is, and they understand their role and know how to contact them	Staff are not aware that a) there is a named person responsible for safeguarding b) what their role is and c) how to contact them	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Staff are aware that there is a named person with responsibility for safeguarding, they understand their role and know how to contact them		
1.3 - The importance of safeguarding and promoting the welfare of children is clearly	This message is not communicated within the organisation.	Please rate partly met if your agency had some arrangements in place but is not yet fully	There are a range of communication tools in place that regularly reinforce the		

Appendix 2

communicated to all staff		meeting the standard	importance of safeguarding and promoting the welfare of children.		
1.4 – There is a clear and accessible safeguarding policy in place which sets out the responsibilities for staff and volunteers for safeguarding children, including when and how to act on safeguarding concerns(provide a copy as evidence)	The organisation does not have a safeguarding policy in place.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There is a clear policy in place; staff work to the policy and make changes to their practice in line with policy updates		
1.5 - Staff, children and families are aware of how to make complaints when responsibilities are not met (provide a copy of the complaints policy and data in relation to the number of safeguarding complaints dealt with during the year)	Staff, children and families are not aware of how to make a complaint.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There is a clear and easy to understand complaints policy in place, which staff, children and families are aware of and understand. The policy is readily accessible and complaints are responded to in a timely manner.		

Appendix 2

<p>1.6 – Whistleblowing concerns are taken seriously and are treated in line with the organisation’s whistleblowing procedures</p>	<p>There is no procedure in place to raise concerns about poor or unsafe practice and potential failures in the organisation’s safeguarding arrangements</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>There is a whistleblowing procedure in place; all staff are aware of the procedure to follow should they have concerns. There are procedures in place for concerns to be raised with the organisation’s leadership team.</p>		
<p>Standard 2 – A clear line of accountability for the commissioning and/or provision of services designed to safeguard and promote the welfare of children</p>					
<p>2.1 – Safeguarding priorities are reflected in the agency’s strategic plan</p>	<p>The strategic plan does not make any reference to safeguarding and it is not felt to be a strategic priority</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>The strategic plan includes clear safeguarding priorities and there are clear actions for how these will be achieved and what difference will be made for children and families.</p>		
<p>2.2 - Safeguarding governance arrangements are clearly defined within the organisation e.g. through regular discussions at strategic</p>	<p>Safeguarding governance arrangements are not clearly defined within the organisation</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Safeguarding governance arrangements are clearly defined. There are robust discussions in relation to safeguarding</p>		

Appendix 2

leadership meetings			responsibilities and all Senior Managers are kept up to date with both local and national safeguarding guidance and the role they have to play in improving outcomes for children.		
2.3 - Safeguarding responsibilities are included in job descriptions and/or volunteer responsibilities	Job descriptions and volunteer responsibilities don't make any reference to the safeguarding responsibilities of individuals	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Safeguarding responsibilities are included in job descriptions and volunteer responsibilities and staff and volunteers are fully aware of to whom they are accountable		
2.4 – Safeguarding is routinely discussed and is a standing item in supervision and appraisal. (please provide evidence of any recent audits)	Safeguarding is not discussed during supervision or included in appraisals	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Safeguarding discussions are integral to all supervision arrangements and clear actions are agreed and followed up through management oversight. Safeguarding responsibilities are included within the appraisal process, which includes a clear focus on learning and development needs of		

Appendix 2

			staff and the outcomes that need to be achieved		
2.5 - FOR COMMISSIONING ORGANISATIONS ONLY: Private, Voluntary and Independent organisations commissioned to provide services, are compliant with S11 standards and these are monitored through contract monitoring arrangements	Contract monitoring arrangements do not include whether the organisation is compliant with S11 standards.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	<p>Compliance with S11 Standards is fully regulated through the contract monitoring arrangements. Any non-compliance is addressed and actions are put in place to ensure full compliance with the standards in order to safeguard children.</p> <p>The organisation has a demonstrable understanding that it is their responsibility to ensure that organisations providing services on their behalf are compliant with Section 11.</p> <p>The GSCB Guidance for Commissioners is used to ensure compliance with S11 standards.</p>		
2.6 - FOR	The commissioning		The commissioning		

Appendix 2

<p>COMMISSIONED ORGANISATIONS ONLY: The commissioning process included a requirement to safeguard children.</p>	<p>process did not place a requirement on the organisation to safeguard children.</p>		<p>organisation included a specific requirement on the organisation to safeguard children, as part of the commissioning process.</p>		
<p>Standard 3 – There is a culture of listening to children and taking account of their wishes and feelings, both in individual decisions made about them and the development of services</p>					
<p>3.1 - Service development plans are informed by the views and experiences of children and families</p>	<p>Plans are developed without taking into consideration the wishes and feelings of children, young people and families</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Children and families are actively involved in the design, development and delivery of services.</p>		
<p>3.2 – The voice and experiences of the child are routinely heard and acted upon</p>	<p>The voice of the child is not taken into consideration and there is no evidence of the child's views and experiences being recorded on files or evidenced in plans.</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>The voice of the child is routinely heard and acted upon. There is clear evidence that the child's experiences, views and wishes have been taken into account and assessments and plans are focussed around the needs and timescales of the child. Service user involvement forums and surveys take place on a regular basis.</p>		

Appendix 2

<p>3.3 Feedback from children and families effectively informs internal quality assurance processes and leads to action for improvement (Improvement Plan)</p>	<p>Feedback from children and families is not routinely sought and does not inform quality assurance processes</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Feedback from children and families is an integral part of quality assurance processes within the organisation and their views and experiences are used to improve safeguarding practice through learning and development activity and system changes</p>		
<p>3.4 - The diversity needs of children are met, and there is equality of opportunity</p>	<p>There is no evidence in place to suggest that the work of the organisation is anti-discriminatory. The organisation does not have an equality and diversity policy.</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Individual needs based on race, language, religion, faith, gender and disability are taken into account when working with a child and their family.</p> <p>There is an equality and diversity policy and action plan in place which is monitored and updated on a regular basis.</p>		
<p>Standard 4 – Effective Inter-Agency Working to safeguard children</p>					
<p>4.1 - The organisation is regularly represented and is an active</p>	<p>There is little or no representation by the organisation at</p>	<p>Please rate partly met if your agency had some arrangements in place</p>	<p>There is a representative from the organisation who</p>		

Appendix 2

<p>participant at safeguarding forums, meetings and child protection conferences (if invited)</p>	<p>safeguarding meetings and forums. When the organisation is represented, they do not take an active role in discussion and decision making</p>	<p>but is not yet fully meeting the standard</p>	<p>regularly attends safeguarding meetings or forums and fully contributes to discussions and decision making. Inter-agency working exists and works effectively at both a strategic and a practice level within the organisation and can be evidenced through quality assurance activity and management oversight.</p>		
<p>4.2 - Staff and volunteers understand the GSCB Levels of Intervention guidance and the type of support that should be provided according to the needs of the child or young person (Improvement Plan)</p>	<p>Staff working within the organisation are not aware of the Levels of Intervention guidance or the action that they would need to take if they were concerned about a child</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Staff and volunteers understand thresholds for intervention across the continuum of need and use the Levels of Intervention guidance as part of their daily decision making to ensure that appropriate decisions are made in the best interests of the child and their family</p>		
<p>4.3 - Staff are confident in the use of healthy, respectful professional challenge if they do not</p>	<p>Staff are not aware of or confident in the use of healthy challenge. They are not aware of</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully</p>	<p>All appropriate staff within the organisation understand and apply the principles of</p>		

Appendix 2

<p>agree with the decisions that have been made within and across agencies.</p> <p>Click here to view the GSCB Escalation of Professional Concerns Guidance</p>	<p>the GSCB Escalation of Professional Concerns Guidance</p>	<p>meeting the standard</p>	<p>respectful challenge as part of their daily practice. Discussions regarding the importance of professional challenge take place as part of supervision arrangements. Concerns are escalated appropriately and in line with the GSCB policy. The senior leadership team are advised of the number of challenges that are made and these are reported back to the GSCB.</p> <p>Please provide details of the number of escalations that have been raised by the organisations since April 2017</p>		
<p>4.4 – Staff are aware of the roles and responsibilities of other professionals and agencies and</p>	<p>Staff are not clear about the role and responsibilities of other professionals or the importance of working</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>Staff within the organisation are clear about their own roles and responsibilities and those of other</p>		

Appendix 2

understand the importance of multi-agency working with children, young people and their families as defined in Working Together to Safeguard Children (2015)	together to improve outcomes for children and young people		professionals and agencies. Practice is in line with the requirements of Working Together to Safeguard Children and any concerns about the effective of multi-agency working are raised in line with GSCB guidance and procedures.		
Standard 5 – Staff are aware of information sharing procedures					
5.1 - Staff are aware of how to access multi-agency guidance on information sharing	Staff are not aware of how to access multi-agency guidance on information sharing	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There are information sharing procedures/guidance in place. Staff understanding of the procedures/guidance is monitored through internal audit and supervision checks.		
5.2 - All staff and volunteers who come into contact with children understand the purpose of information sharing in order to safeguard children	Staff and volunteers who come into contact with children do not understand the purpose of information sharing.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Staff and volunteers who become aware of issues relating to child protection fully understand the importance of information sharing in order to safeguard		

Appendix 2

			children.		
5.3 – All staff within the organisations know when and how to share information when there are concerns about the safety and welfare of a child	Staff do not understand when and how to share information and do not seek advice from the safeguarding lead	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Staff within the organisation understand when are how to share information; are clear about the importance of discussing concerns and obtaining consent wherever it is safe to do so and also the action that is taken when there are concerns that a child is at immediate risk of significant harm.		
Standard 6 – Appropriate training, supervision and support for staff					
6.1 – Safeguarding is included in the organisation’s induction programme for staff and volunteers	Staff induction does not include safeguarding information. Staff do not have an awareness of their own safeguarding responsibilities or those of other professionals	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	An induction process is in place which includes safeguarding information. All staff receive an introduction to the organisation’s child protection policy and local reporting processes, which includes Levels of Intervention guidance, professional challenge/Escalation		

Appendix 2

			Policy and information sharing guidance. The induction always takes place within the first 6 months of employment.		
6.2 - Safeguarding training is accessed by all members of staff appropriate to their job roles, which includes; in-house single agency training and as appropriate multi-agency specialist training.	Staff within the organisation do not receive appropriate levels of training.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	All staff within the organisation have received safeguarding training or are due to receive the training appropriate to their role and responsibilities. This can be clearly evidenced and is regularly reported to the senior leadership team.		
6.3 – The organisation keeps records of the safeguarding training attended by each volunteer or staff member	There are no safeguarding training records kept by the organisation	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There are robust records kept by the organisation that show each course, both single agency and multi-agency that a member of staff has attended and the date of attendance. The organisation also records that the 3-month evaluation		

Appendix 2

			questionnaire has been completed.		
6.4 – The organisation measures the impact of safeguarding training back in the workplace and on outcomes for children and young people	There are no processes in place within the organisation to measure the impact of safeguarding training	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	The organisation has a robust mechanism to be able to measure the impact of safeguarding training attended by staff and volunteers on their practice through applied learning, which leads to improved outcomes for children and young people		
6.5 - Learning from system reviews, relevant to the organisation have been disseminated and embedded. They might include Serious Case Review's (SCR) and other systems review, Child Death Overview Panel (CDOP), Critical learning review (Youth Justice Board)	No dissemination of learning from any system reviews.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Systematic dissemination of learning from reviews relevant to the organisation and of embedding the learning into the organisational culture.		
Standard 7 – Safe Recruitment and Allegations Management					
7.1 - Relevant staff	Relevant staff within	Please rate partly met if	Relevant staff have		

Appendix 2

have access to safer recruitment training	the organisation do not have access to safer recruitment training	your agency had some arrangements in place but is not yet fully meeting the standard	undertaken safer recruitment accredited training, (e.g. GSCB safer recruitment training)		
7.2 - Interview panels include someone trained in safer recruitment when appropriate	Interview panels do not include a panel member who is trained in safer recruitment	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	When appropriate, Interview panels always include at least one member who has undertaken accredited Safer Recruitment training		
7.3 - References are taken up in line with the organisation's recruitment guidelines	References are not taken up in accordance with organisational guidelines.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	Where organisational guidelines state that references are taken up after interview, this is always the case and staff are not appointed unless a satisfactory reference has been received		
7.4 - Regulated activity under DBS has been agreed and checks undertaken	There is no clear understanding of regulated activity and DBS checks are not undertaken.	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	The organisation undertakes DBS checks on all staff and volunteers who work with children in regulated activity		
7.5 - All staff (where appropriate) are aware of the procedures for	Staff are not aware of the procedures to be followed if allegations	Please rate partly met if your agency had some arrangements in place	Procedures for the management of allegations are known		

Appendix 2

<p>allegations against staff and have received relevant training</p>	<p>are made about them or a colleague</p>	<p>but is not yet fully meeting the standard</p>	<p>by all appropriate staff. Allegations are referred to the most senior person who is not implicated in the concern. If an allegation has been made there is evidence that the procedures are followed properly, reported to the Local Authority Designated Officer (LADO) and clear records kept. (Please evidence the number of referrals made to the LADO, and whether they were made within timescales (Working Together 2015 stipulates within 1 working day)</p>		
<p>Standard 8 – Monitoring and inspection of arrangements to safeguard and promote the welfare of children</p>					
<p>8.1 – There is a quality assurance framework in place which is embedded and the findings routinely lead to practice improvements (please provide copy as</p>	<p>There is no internal safeguarding quality assurance framework in place</p>	<p>Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard</p>	<p>There is a quality assurance framework in place within the organisation. Safeguarding children and young people is integral to the principles and</p>		

Appendix 2

evidence) (Improvement Plan)			objectives of the framework and there is clear evidence that findings from quality assurance activity leads directly to practice improvements through learning and development opportunities and changes to policies and procedures		
8.2 – There are key performance indicators in place that provide internal assurance about the quality of safeguarding responses and data is routinely shared with the GSCB (Improvement Plan)	The organisation does not have safeguarding performance indicators in place	Please rate partly met if your agency had some arrangements in place but is not yet fully meeting the standard	There is a robust safeguarding performance framework in place, and reports are provided on a quarterly basis through the organisation’s strategic reporting frameworks. Data is shared with the GSCB on a quarterly basis and more detailed reports are provided as required.		