Local Safeguarding Children Board
LSCB
Stockton-on-Tees

MULTI-AGENCY SAFEGUARDING CHILDREN INFORMATION TO ASSIST GOOD PRACTICE

SECTION 11 AUDITS Guidance & Audit Toolkit

Parts 1 - 3

For (consideration / adoption by):

Hartlepool, Middlesbrough, Redcar & Cleveland and Stockton-on-Tees LSCBs

Date of Issue: July 2010

Contents

Introduction 2
Part 1: Guidance for the completion of Section 11 (S.11) Audit Toolkit 3
Examples of evidence that can be used to demonstrate compliance with the S.11 standards 3
1. Senior management commitment to the importance of safeguarding and promoting children's welfare 3
2) A clear statement of the agency's responsibilities towards children is available for all staff 3
3) A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children 4
4) Service development takes account of the need to safeguard and promote welfare and is informed, where appropriate, by the views of children and families. 4
5) Staff training on safeguarding and promoting the welfare of children for all staff working with or, depending on the agency's primary functions, in contact with children and families. 4
6) Safer recruitment 5
7) Effective inter-agency working to safeguard and promote the welfare of children 5
8) Information Sharing 5
Part 2: Section 11 Audit Toolkit 6
Part 3: S11 Action Plan 16

Introduction

What is Section 11 (S.11)?
Safeguarding children is everyone's responsibility. S.11 of the Children Act places a statutory duty on key organisations to make arrangements to ensure that in discharging their functions they have regard to the need to safeguard and promote the welfare of children.

It is important to remember that S.11 does not give agencies any new functions, nor does it over-ride their existing functions. Instead it requires you to carry out your existing functions in a way that takes into account the need to safeguard and promote the welfare of children.

Who does S.11 apply to?
S.11 compliance is a mandatory requirement for key organisations involved with children and young people, including:

- Local Authorities
- The police
- The Probation Service
- NHS Bodies (Strategic health authorities, designated special health authorities, primary care trusts, NHS trusts and NHS Foundation Trusts)
- Connexions
- Youth Offending Teams
- CAFCASS (Children and Family Courts Advisory and Support Service)

However all organisations represented on the LSCB will be required to complete the S.11 audit

How do we know if S.11 is being implemented properly?
Working Together (2010) recommends that Local Safeguarding Children Boards audit compliance with S.11. All organisations will be asked to complete a self assessment and provide evidence of how they comply with S.11 when carrying out their day to day business. This audit will give an indication of how well organisations are working to keep children safe. The audits will be repeated *annually*, and agencies will be asked to develop action plans to address any weaknesses identified.

The following documents relating to the audit are available to download from the Local Safeguarding Children Board website.

- Part 1: Guidance for completion of section 11
- Part 2: Section 11 Audit Toolkit
- Part 3: Section 11 Action Plan

The documents will be issued to named individuals by the SLSCB Business Unit on behalf of the SLSCB Performance & Quality Task Group and should be returned within one month of its receipt.

Further Information

If you have any questions, please contact the Performance & Quality Task Group Chair via the SLSCB Business Manager on slscb@stockton.gov.uk / 01642 527636

Statutory Guidance on making arrangements to safeguard and promote the welfare of children under S.11 of the Children Act 2004 is available to download from the Department for Education website: http://education.gov.uk/publications/standard/publicationDetail/Page1/DFES-0036-2007

Part 1: Guidance for the completion of Section 11 (S.11) Audit Toolkit

The s11 toolkit is a self evaluation tool that covers eight key areas. Within each of these 'areas' there are a number of standards that the agency should meet. To complete the toolkit, evidence should be given that would demonstrate how your agency meets each of the standards.

Below are some examples, which may help you when thinking about how to evidence the ways in which your organisation complies with S.11. They are intended as a guide only and are not an exhaustive list. It is important that the evidence you provide is detailed enough to enable any follow up work to quickly identify the protocols/guidance/ systems that are referred to.

The S.11 toolkit is a supportive process allowing each agency to identify the standards that they meet and those where further actions are needed. If, when completing the toolkit, you identify areas where your organisation is not complying fully with a standard, please paste this into the 'action plan' (part 3) and fill in the steps needed to meet the standard and the timescales this will be achieved within. There are a number of standards that are 'essential requirements'. Meeting these, will be the priority of any action plans. Once these are met, then any other standards, that have not been met, will be addressed. *If your organisation does not meet any of the essential requirements then these will need to be listed first on your action plan as these will be addressed first.* The relevant subgroup for the LSCB will work alongside each agency to record when each standard has been met.

If your agency operates across more than one LSCB, you will only need to complete the audit once. It should however be shared with the LSCBs your agency works with.

If you need any further guidance, or want to discuss any issues, please contact the slscb@stockton.gov.uk / 01642 527636

Examples of evidence that can be used to demonstrate compliance with the S.11 standards

1. Senior management commitment to the importance of safeguarding and promoting children's welfare

Evidence:

1.1) The name of the person; they are named within the organisation's child protection policy.

1.2) The role of the designated lead with safeguarding responsibility is advertised regularly, including their job role; regular promotion of role within and external to organisation; named in safeguarding policies.

1.3) The job description of the designated lead contains roles and responsibilities in relation to safeguarding and promoting welfare of children and young people; details of the regular training and supervision that they receive.

1.4) The name of the E-safety lead officer and how staff are made aware of their role.

1.5) Policies/guidance that promote a culture of listening to and engaging in dialogue with children and young people when developing and evaluating services and in individual case decisions (guidance to include process for recording concerns and response, and what to do when a child expresses concerns); relevant information distributed to staff; senior officers monitor individual decisions and the development of services; forms developed by the service include reference to children's wishes and feelings; projects or services developed take into consideration children and young people's needs.

1.6) Checks are made by the commissioning body; relevant information is included in contracts.

2) A clear statement of the agency's responsibilities towards children is available for all staff

Evidence:

2.1) Child protection policies and procedures are in place and the date of the last review.

2.2) How safeguarding policies/procedures are disseminated to staff (e.g. in newsletters, emails, inclusion in team meetings, staff training); the format of the policies/procedures in the workplace and staff's access to these; Policies and procedures are made available to all staff, volunteers, students, trustees and senior managers.

2.3) The name of the E safety policies that are in place, (these should include an e-safety policy and acceptable use policies (one for staff, one for children/young people)); e-safety is included within CP procedures; the date of the last review of policies and procedures.

2.4) The organisation has clear complaints and 'whistle blowing' procedures for service users and staff; these procedures are understandable and easy to follow; how these procedures have been distributed and disseminated; evaluations/audits of the use of the complaints system; Information on the time span that complaints are expected to be responded to; examples/reviews to demonstrate that complaints procedures have been used by adult and child service users and staff; examples of information of how to make a complaint is written in a child friendly format.

3) A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children

Evidence:

3.1) Name of the framework and when this was last reviewed; details of what the framework includes; safeguarding structure document; evidence of how staff are made aware of this.

3.2) The name of the person to whom each staff member is accountable to is documented in staff procedures/welcome pack; examples demonstrating that staff are aware of the level of accountability they have.

4) Service development takes account of the need to safeguard and promote welfare and is informed, where appropriate, by the views of children and families.

Evidence:

4.1) That safeguarding is considered within service plans; examples of how safeguarding is written into the development of new services; guidance for the development of new services and how safeguarding is mentioned within this.

4.2) Details of consultations with children and families regarding service developments; how the findings of these consultations have fed into the service development; literature searches of children's and families views; how children and families views are fed into individual case decisions; evaluations of the involvement of children and families in individual cases.

5) Staff training on safeguarding and promoting the welfare of children for all staff working with or, depending on the agency's primary functions, in contact with children and families.

Evidence:

5.1) Outline of the induction process and training for new starters; information that is included in an induction folder for new starters; information on the content of induction training and that it meets all the requirements.

5.2) A record is kept of staff training on child protection and who holds this record.

5.3) Details of training available for staff, including multi agency training; details of training pathways.

5.4) Details of the e-safety training and who it is available too. Staff have a training pathway.

5.5) There is guidance regarding individual or group supervision; evidence that senior manager's monitor supervision; the information that staff receive regarding any further support that is available.

5.6) How the recommendations from SCR are shared with staff (e.g. newsletters, staff email updates); evidence of updating staff with changes to statutory requirements and how this is achieved; examples of how the most recent recommendations/requirements have been shared.

6) Safer recruitment

Evidence:

6.1) A safer recruitment policy is in place.

6.2) Safer recruitment training is provided; records of recruitment panels are maintained by the organisation, including which member on the panel had completed safer recruitment training; audits of recruitment panels to evaluate compliance.

6.3/4) Protocols in place that outline the checks to be made before a person is appointed; staff HR files document all the listed checks that were undertaken and the outcomes of these; audits of HR files.

6.5) Probationary periods (if used) are detailed in job offer letters / contracts.

6.6) Examples of the preparation work being undertaken.

6.7) The name of the policy. It is expected that this policy would include how staff can /can't use the technologies and the sanctions that are in place.

6.8) Where the incidents are recorded; who holds this record.

6.9) Name of the senior officer

6.10) Information on the procedures used by the organisation when dealing with allegations against staff and volunteers e.g. those developed in house or city wide procedures

6.11) Where incidents are recorded (it is expected that incidents are recorded and stay on individual HR files for ten years or until retirement whichever is longer).

6.12) Examples of the information given to temporary/agency staff.

7) Effective inter-agency working to safeguard and promote the welfare of children

Evidence:

7.1) That a senior officer attends meetings, or sends deputy. Officers attend operational executive and/or other LSCB sub groups regularly.

7.2) Policies used to support inter agency working; where these are located and steps taken ensure staff are aware of and working to these policies e.g. terms of reference

7.3) Staff working with children and families attend meetings / panels in relation to individual children (for example, core groups, child protection conferences, child in need meetings etc)

7.4) Training and guidance for staff (covers when to make referral and when and how to complete a CAF and when to refer to children and family services).

7.5) Participation in SCR and case reviews; if not needed in previous Case/SC reviews then this should be documented with any evidence of involvement in internal reviews/procedural reviews.

7.6) The procedures in place to cover the aspects listed.

8) Information Sharing

Evidence:

8.1) Details of the guidance used.

8.2) How guidance and training, on information sharing, is made available to staff (both on induction and for existing staff)

8.3) Training / guidance available for staff and managers; Staff know where to go if they have a query / concern re. information sharing.

8.4) Consent to share information, and situations when consent is not needed are covered in the training and guidance issued; evidence of consent and information sharing covered in supervision/appraisals.

Part 2: Section 11 Audit Toolkit

Stockton-on-Tees Safeguarding Children Board

Date for completion / return:	

Please return to:

LSCB lead officer and contact details:	**SLSCB Performance & Quality Task Group Chair c/ o SLSCB Business Manager slscb@stockton.gov.uk**

Name of agency completing return:	
Person responsible for audit:	
Contact details:	
Date of completion / return:	

Parts 2 & 3 shared with :		Sent By :	
		Date:	

Standard 1. Senior management commitment to the importance of safeguarding and promoting children's welfare		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
1.1) There is a designated lead with overall responsibility for safeguarding throughout the organisation. *(Essential requirement)*	Name of designated lead:	
1.2) Staff are made aware of who is the designated lead for safeguarding within the organisation. *(Essential requirement)*		
1.3) The designated lead for safeguarding has a job description which clearly defines their roles and responsibilities in relation to safeguarding and promoting the welfare of children and young people; they receive training and supervision in relation to this role. *(Essential requirement)*		
1.4) There is a named lead officer for E-safety.	Name of officer:	
1.5) Senior managers promote a culture of listening to and engaging in dialogue with children and young people both when developing services and when making individual case decisions.		
1.6) When commissioning a service from another organisation there are clear mechanisms in place to ensure that they are compliant with s11. *(Essential requirement)*		

Standard 2. A clear statement of the agency's responsibilities towards children is available for all staff		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
2.1) The agency has written safeguarding policies and procedures that are reviewed regularly (at least every 3 years) in line with LSCB guidance. *(Essential requirement)*		
2.2) All staff and volunteers are made aware of the safeguarding policies and procedures and can access these with ease from all worksites.		
2.3) The agency has written e-safety policies and procedures that are reviewed regularly.		
2.4) Effective systems are in place for staff and service users (adult and child) to make a complaint or 'whistle blowing' where they have concerns that action to safeguard has not been followed in accordance with the agencies procedures. These systems include clear timescales for resolving complaints. *(Essential requirement)*	Service users (child and adult): Staff:	

Standard 2. A clear statement of the agency's responsibilities towards children is available for all staff		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
2.5) When other organisations are commissioned to provide services on the organisations behalf there are mechanisms in place to ensure that those organisations also have regard to the requirements of section 11.		

Standard 3. A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
3.1) The organisation has a clear accountability framework, which covers individual, professional and organisational accountability for safeguarding children. Staff are aware of this.		
3.2) Staff and volunteers understand their personal responsibilities and to whom they are directly accountable with regards to child welfare, and the level of accountability they have.		

Standard 4. Service development takes account of the need to safeguard and promote welfare and is informed, where appropriate, by the views of children and families.		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
4.1) Safeguarding children is incorporated into service development and delivery.		
4.2) There is a culture of listening to and engaging in dialogue with children and families and -		
4.2a) Service development plans are informed by the views of children and families		
4.2b) Individual case decisions are informed by the views of children and families.		

Standard 5. Staff training on safeguarding and promoting the welfare of children for all staff working with or, depending on the agency's primary functions, in contact with children and families.		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
5.1) An induction process is in place for all staff who have contact with children. This includes: a. familiarisation with child protection policies b. basic child protection training that includes: *how to recognise signs of abuse & neglect *how to respond to any concerns *e safety awareness *(Essential requirement)*		

Standard 5. Staff training on safeguarding and promoting the welfare of children for all staff working with or, depending on the agency's primary functions, in contact with children and families.		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
5.2) A register is kept of staff who have completed induction and basic child protection training *(Essential requirement)*		
5.3) Additional training (both single and multi agency) is available for staff working with children and young people appropriate to their role.		
5.4) E-Safety awareness training is available for staff working with children and young people.		
5.5) All individuals who come into contact with children and young people on an individual basis have regular, minuted management supervision and can access further support when required *(Essential requirement)*		
5.5) Staff are kept up to date with statutory requirements and findings from serious case reviews and inspections.		

Standard 6. Safer recruitment / allegations management		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
6.1) The organisation has a safer recruitment policy and staff are aware how to access it. *(Essential requirement)*		
6.2) Staff involved in recruitment are suitably trained (e.g. at least one member on the short listing / interview panel must have been on safer recruitment training)		
6.3) All staff who have contact with children, young people and families are properly selected and have appropriate checks in line with current legislation and guidance: a) References are always taken up b) Identity and qualifications are verified c) Face to face interviews are carried out d) Previous employment history is checked e) Any anomalies or discrepancies are taken up f) Necessary checks are carried out and repeated every 3 years (e.g. CRB) *(Essential requirement)*		
6.4) Records are maintained detailing checks taken in respect of employees		
6.5) New staff have an appropriate probationary period for their role		

Standard 6. Safer recruitment / allegations management		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
6.6) The organisation is making the necessary preparations for the introduction of the Independent Safeguarding Authority / vetting and barring scheme (e.g. training and briefings for staff , updating recruitment procedures)		
6.7) There are acceptable use policies for staff that detail how staff and children/young people can use digital technology.		
6.8) E safety incidents (including cyber bullying) are recorded.		
6.9) There is a named senior officer with responsibility in respect of allegations against staff and volunteers *(Essential requirement)*	Name of Senior Officer:	
6.10) There are written procedures for handling allegations against staff and volunteers and all staff are aware of them. *(Essential requirement)*		
6.11) Incidents and allegations of abuse are recorded appropriately.		
6.12) Responsibilities in relation to safeguarding children are made clear to temporary and agency staff		

Standard 7. Effective inter-agency working to safeguard and promote the welfare of children		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
7.1) Strong strategic leadership in multi agency working is demonstrated by regular attendance at LSCB meetings.		
7.2) Policies and arrangements are in place locally to support effective interagency working in individual cases. Staff have access to these policies.		
7.3) Staff participate in multi agency meetings and forums to consider individual children.		
7.4) Staff are able to identify children who would benefit from additional services and require a CAF .		
7.5) Staff are clear about the circumstances in which a referral to Children, Adult and Family Services is necessary.		
7.6) Staff participate in Serious Case Reviews (SCR) and Case Reviews when required to do so.		
7.7) The agency has a clear process for: a. completing actions from SCRs b. gathering the evidence required c. embedding recommendations into b) Practice		

Standard 7. Effective inter-agency working to safeguard and promote the welfare of children		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
7.8) Staff are aware of their responsibilities in relation to the reporting of Private Fostering Regulations.		

Standard 8. Information Sharing		
The standard the organisation needs to meet	**The evidence that the standard has been met**	**Any further action needed to meet the standard**
8.1) The organisation has in place agency specific guidance on information sharing.		
8.2) This guidance (and training) are made available to existing and new staff as part of their induction and on going training.		
8.3) All staff who come into contact with children should understand the purpose of information sharing in order to safeguard and promote children's welfare		
8.4) Staff must be confident about what they can and should do under the law, including how to obtain consent to share information and when information may be shared even though consent hasn't been obtained.		

Part 3: S11 Action Plan

Agency: _____

Details of standard		Action needed	Lead officer and contact details	Timescales
No	**Standard**			

Details of standard		Action needed	Lead officer and contact details	Timescales
No	**Standard**			