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**“How healthy and safe” audit tool**

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| --- | --- | --- | --- | --- | --- |
| Ref | Element | Evidence | Priority | RAG | Notes / actions |
| **Leadership of safeguarding within the organisation** | | | | | |
|  | Is there a clear and overt commitment to safeguarding from the most senior level of leadership of the organisation? |  |  |  |  |
|  | Does the organisation have a Designated Safeguarding Lead who is a senior officer / manager / leader within the organisation? |  |  |  |  |
|  | Does the designated Safeguarding officer have at least one deputy? |  |  |  |  |
|  | Are specific duties related to safeguarding delegated to anyone other than a trained Designated Safeguarding Officer? |  |  |  |  |
|  | If so, who? How are they trained and how is the quality of the work assured? |  |  |  |  |
|  | Do the Designated Safeguarding Officer (and any deputies that are appointed) have clear role descriptions that outline their responsibilities and the expectations of the organisation? |  |  |  |  |
|  | Do you have separate Designated Safeguarding officers for children and adults or are their roles combined? |  |  |  |  |
|  | If separate; do staff and volunteers clearly understand the organisational structure and who is responsible for which issues? |  |  |  |  |
|  | Do the Designated Safeguarding Officer and any deputies receive training and support to ensure that they can competently and confidently fulfil their role? |  |  |  |  |
|  | Have they completed appropriate initial training and is this updated every 2 years? |  |  |  |  |
|  | Are they updating and developing their skills on an ongoing basis and engaging in some sort of update activity (e.g. accessing newsletters etc) at last annually? |  |  |  |  |
|  | Do they have adequate resource allocation? |  |  |  |  |
|  | Do they have sufficient time allocated / available to fulfil the role |  |  |  |  |
|  | Are any deputy DSL’s trained to the same standard as the DSL? |  |  |  |  |
|  | Is the DSL (or one of the deputies) available during the whole of the time that your organisation is offering its services? |  |  |  |  |
|  | Does the Designated Safeguarding officer regularly provide appropriate (i.e. effective but without divulging confidential information) reporting to those responsible for the governance and management of the organisation? |  |  |  |  |
|  | How do those responsible for governance assure themselves that the organisation is compliant with national and local guidance? |  |  |  |  |
|  | Does the organisation have a designated person for Looked After Children (LAC) |  |  |  |  |
|  | Does the organisation have a designated lead for children and young people’s mental health? |  |  |  |  |
|  | Does the organisation have a designated person who looks after Special Educational Needs and disabilities and Inclusion? |  |  |  |  |
|  | Does the organisation have effective and proportionate systems for gathering and analysing data and responding to trends that are identified? |  |  |  |  |
|  | Does the organisation have effective incident reporting and are incidents and accidents analysed and lessons learned effectively implemented |  |  |  |  |
|  | Does the organisation have a formal process for evaluating / auditing its effectiveness in safeguarding? |  |  |  |  |
|  | Are senior leaders trained and competent in handling allegations, complaints and concerns about practice within the organisation? |  |  |  |  |
| **Safeguarding policies and procedures** | | | | | |
|  | Does the organisation have a safeguarding policy / suite of policies? |  |  |  |  |
|  | Do the policies and procedures comply with national and local (LSCB) guidance? |  |  |  |  |
|  | How do those with a responsibility for safeguarding ensure they stay up-to-date with changes to national & local guidance and procedures? |  |  |  |  |
|  | Do the policies reflect the importance of identifying and responding to immediate risk and the need to respond urgently to protect the vulnerable person? |  |  |  |  |
|  | Do the policies specify how to respond if feedback from the referral is not received within the stipulated timeframes? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference Female Genital Mutilation? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference radicalisation? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference risks associated with technology including mobile technology and social media? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference the exploitation of children financially, criminally, sexually and risks around gang culture and antisocial / criminal behaviour? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference modern slavery and trafficking and the National Referral Mechanism? |  |  |  |  |
|  | Do the policies and / or procedures specifically reference “private fostering”? |  |  |  |  |
|  | Do the policies provide a clear framework for including children, young people, vulnerable adults and where appropriate their parents / carers in safeguarding processes; including who has responsibility for which safeguarding activities? |  |  |  |  |
|  | Do the policies include a clear escalation policy and procedure that is compliant with national and local guidance that addresses professional disagreements either within the organisation or with other agencies? |  |  |  |  |
|  | Is the policy formally reviewed at least annually and more frequently if required? |  |  |  |  |
|  | How is policy version history managed? Is it possible to identify and track changes to the policies over time, so that it is clear which policy version was in place at a given point in time? |  |  |  |  |
|  | How does the organisation ensure that all staff / volunteers are working to the current versions of policies and procedures |  |  |  |  |
|  | Does the Organisation have a clear statement about how it will work in partnership and share information with the Local Authority and other partners? Does it include: |  |  |  |  |
|  | When consent does and does not need to be sought |  |  |  |  |
|  | Overarching principles of information sharing |  |  |  |  |
|  | What information will be shared under what circumstances |  |  |  |  |
|  | The organisation’s responsibility to share information to keep children safe in relation to GDPR |  |  |  |  |
|  | Are your policies and procedures readily and publicly available (e.g. on your web-site) and do you actively publicise them, the names of the safeguarding leads and the complaints procedures? |  |  |  |  |
|  | Does the organisation have clear processes for identifying and reporting children who go missing from home, school etc? |  |  |  |  |
|  | Do you have a policy that covers the management of ex-offenders / those who pose an actual or potential risk to children? |  |  |  |  |
|  | Does this specifically reference formal and informal visits to homes where children / vulnerable adults are present? |  |  |  |  |
|  | Do you have a record retention policy that complies with legal requirements and that includes the retention of attendance data (including leaders), confidential safeguarding files and records of allegations / disciplinary action against staff and volunteers and that includes the fact that copies of DBS certificates should not be retained for more than 6 months maximum. |  |  |  |  |
|  | Does the organisation have a clear equality and diversity policy that ensures that everyone it treated fairly and equitably, with dignity and respect? |  |  |  |  |
|  | Does the equality and diversity policy comply with the Equality act 2010? |  |  |  |  |
|  | Do the policies specifically reference the safeguarding of particularly vulnerable people such as those with disabilities, children who are “looked after” by the local authority, those returning home after being “looked after” by the local authority, Care Leavers, people with mental health issues, etc |  |  |  |  |
|  | Do the policies and procedures specifically reference those who are carers (particularly young carers) and do staff understand how to support carers? |  |  |  |  |
|  | Does this specifically address and areas of potential conflict with the organisation’s theological position; clarifying how the organisation meets its duties within the bounds of its core beliefs? |  |  |  |  |
|  | Do the policies clearly articulate a zero-tolerance approach to abusive and discriminatory language and behaviours and are staff / volunteers confident in challenging such abuse or discrimination? |  |  |  |  |
|  | Does the organisation have a clear policy and procedure for handling allegations against a member of staff; including referral to the DBS where this is necessary? |  |  |  |  |
|  | Does this specifically reference the need to refer to the DBS (where necessary) even if the alleged perpetrator resigns / relinquishes their responsibilities and / or leaves the organisation? |  |  |  |  |
|  | Do the policies and procedures specifically reference a situation where a young person (under the age of 18) is acting as a leader / helper in a group for younger children? |  |  |  |  |
|  | Do the policies / procedures specifically refer to leader: child ratios for the activities in which you engage? |  |  |  |  |
|  | Do the policies and procedures specifically refer to the management of visitors to the site while children are in the care of the organisation? |  |  |  |  |
| **Complaints, concerns about practice within the organisation and allegations** | | | | | |
|  | Do you have a clear policy and process for dealing with complements, comments, suggestions and complaints? |  |  |  |  |
|  | Do you have clearly policies for dealing with:   * Allegations * Concerns about practice or quality of care * Complaints   Do the policies clearly distinguish between the different categories? |  |  |  |  |
|  | Do staff and volunteers understand the difference between:   * A safeguarding concern * An allegation * A concern about practice * A complaint |  |  |  |  |
|  | Does the policy include the appeals procedure and clear timeframes for action resolution? |  |  |  |  |
|  | How are children, young people, adults at risk of abuse and the parents / carers of such made aware of the complaints processes? |  |  |  |  |
|  | Do you have clear and effective policies and processes to deal with allegations against staff and volunteers? |  |  |  |  |
|  | Do you have a policy that clearly outlines action to be taken if the allegation is against the Designated Safeguarding Officer or their deputies? |  |  |  |  |
|  | Does the policy clearly outline action to be taken if the allegation is against one of the senior leaders of the organisation? |  |  |  |  |
|  | Do policies dealing with allegations against staff or volunteers have clear timeframes for action and a clear description of the support that will be offered; both to the alleged victim and to the person against whom the allegation has been made throughout the process? |  |  |  |  |
|  | Do you have clear policies and procedures for concerns about practice within the organisation to be raised, investigated and responded to (i.e. whistleblowing)? |  |  |  |  |
|  | Does the organisation actively foster a culture of safety, where concerns can be raised and discussed in an open, transparent and constructive way without fear of recrimination or retaliation and where raising a concern is expected and considered the responsible thing to do? |  |  |  |  |
|  | Does the organisation have an anti-bullying policy and a zero-tolerance culture in relation to bullying of leaders, staff, volunteers, and members of the organisation’s community. |  |  |  |  |
|  | Does the organisation have a culture of visible and approachable leadership that encourages ideas, suggestions, improvements and suggestions? |  |  |  |  |
|  | Does the organisation facilitate individual and corporate reflection where issues are explored and analysed, problems are resolved and best practice is shared and implemented? |  |  |  |  |
|  | Where concerns or complaints are raised, does the organisation have policies and a culture that deals with them openly, fairly, promptly and that is supportive of all involved; seeking to ensure minimum stress and pain and providing a proportionate response? |  |  |  |  |
|  | Does the organisation have both formal and informal processes for raising concerns and complaints?  If so, how are informal discussions actioned and recorded? |  |  |  |  |
|  | Does the organisation have clear processes for dispute resolution that seeks to build trust and openness? |  |  |  |  |
|  | Do staff and volunteers receive training in their responsibility to raise concerns and the processes for doing so? |  |  |  |  |
|  | Where a dispute or disagreements cannot be resolved, does the organisation have a positive process to support the individual either to reintegrate into the community or to move on in a supporting and constructive environment? |  |  |  |  |
|  | Is there a process in place to ensure that everyone within the community is held accountable for their behaviour? |  |  |  |  |
| **Management of health and safety (part of universal safeguarding)** | | | | | |
|  | Does the organisation have an effective system for managing health and safety, including a health and safety policy? |  |  |  |  |
|  | Does this system include an effective risk assessment process? |  |  |  |  |
|  | Does the system / process cover all aspects of the organisation’s activities and the protection of children, young people or adults at risk wherever they could be involved; even if the activity is not specifically for them? |  |  |  |  |
|  | Does it specifically cover “off-site” trips? |  |  |  |  |
|  | If appropriate, do you have clear policies, procedures and guidance covering residential trips? |  |  |  |  |
|  | Does the system cover formal / informal meeting in homes where children and / or adults at risk of abuse are present? |  |  |  |  |
|  | Does the organisation have clear processes outlining their duty of care to children, young people and adults at risk of abuse? |  |  |  |  |
|  | Does this include security of and access to the building / rooms that are in use? |  |  |  |  |
|  | Does this include consent forms with, where possible, multiple options for contacting parents in the case of an emergency? |  |  |  |  |
|  | Does this include clear statements about the transfer of responsibility for the child from, and back to the parents? |  |  |  |  |
| **Safer recruitment** | | | | | |
|  | Does the organisation have a policy and procedures that covers the recruitment of staff and volunteers? |  |  |  |  |
|  | Do those responsible for recruitment of staff and volunteers have a clear understanding of regulated activity and which roles can and cannot be subject to DBS check at the different levels. |  |  |  |  |
|  | Do you have role / job descriptions and person specifications for all staff and voluntary roles? |  |  |  |  |
|  | Does the job / role description make clear which level of DBS check (if any) is legally required / permissible? |  |  |  |  |
|  | Do you have clear lines of responsibility and accountability for staff and volunteers at all levels of the organisation? |  |  |  |  |
|  | Do you make all relevant checks including verification of identity, qualifications, DBS, mental and physical fitness, the person’s right to work in the UK, checks of those who have been working outside the U.K. as appropriate for the role, etc? |  |  |  |  |
|  | Do you seek references for staff and volunteers; particularly those working with children, young people and adults at risk of abuse? |  |  |  |  |
|  | Do you interview all potential staff / volunteers (whether part of a competitive recruitment process or not)? |  |  |  |  |
|  | Do recruitment processes test out the attitudes to and perceptions of the people that the member of staff or volunteer will be working with as well as their competence to work with them? |  |  |  |  |
|  | Has at least one person responsible for the recruitment process attended safer recruitment training? |  |  |  |  |
|  | Are staff and volunteers made aware of their responsibility to safeguard the vulnerable? |  |  |  |  |
|  | Do you have a robust induction programme for new staff or volunteers that includes national and local requirements and covers the organisation’s policies, procedures and systems? |  |  |  |  |
|  | Are staff required to sign to confirm that they have read and understood the policies and procedures and any other required documents and guidance? |  |  |  |  |
|  | Do you have a coherent programme of ongoing staff and volunteer training and development? |  |  |  |  |
|  | Do you provide regular supervision meetings / discussions with staff and volunteers that allow include reflection on personal and corporate practice and support continuous improvement? |  |  |  |  |
|  | Does the organisation have a process for personal / professional development and performance management such as an appraisal / personal development review process? |  |  |  |  |
|  | Do you have a system to assure yourselves that staff and volunteers are competent and confident in their roles? |  |  |  |  |
|  | Do your processes include maintaining a Single Central Record of all staff who work with children, young people or vulnerable adults and the pre-appointment checks that were made? |  |  |  |  |
|  | Do your policies and procedures include re-checking DBS and using the update service? |  |  |  |  |
| **Conduct and expectations** | | | | | |
|  | Do you have clear expectations of and a code of conduct for staff / volunteers that outlines behavioural expectations? |  |  |  |  |
|  | Do you have clear expectations of and a code of conduct for those attending groups?  Does the code of conduct outline the range of sanctions that may be used to address non-compliance? |  |  |  |  |
|  | Does the organisation have a clear policy about restraint and physical intervention? |  |  |  |  |
|  | Does the policy require a “no physical contact” approach?  If so, how is the safety of children and young people effected? |  |  |  |  |
|  | Do you have a clear process for dealing with peer abuse and is it outlined in the policies and procedures? |  |  |  |  |
|  | Does this process effectively manage sexual harassment and abuse by peers, and is there a zero-tolerance approach to such behaviour? |  |  |  |  |
|  | Do you have clear expectations of and a code of conduct for parents / carers? |  |  |  |  |
|  | Does the organisation have explicit guidance for workers that covers personal contact with children young people and adults at risk of abuse, including contact via social media? |  |  |  |  |
|  | Does the or organisation make it clear to all staff and volunteers that contact made through their role in the organisation are clients and not personal friends and that all responsibility and any data collected belongs to the organisation and not the individual worker? |  |  |  |  |
|  | Does the organisation promote good digital citizenship and online safety; particularly with those who are vulnerable? |  |  |  |  |
|  | Does the organisation make it clear that everyone coming into contact with vulnerable people has a responsibility to safeguard them and consider what is in their best interest? |  |  |  |  |
| **Staff and volunteer competence** | | | | | |
|  | Do all staff and volunteers who work with children and young people have the basic level of competence as outlined on our “Core competencies” document? |  |  |  |  |
|  | Do all staff and volunteers who work with adults at risk of abuse have the basic level of competence as outlined in our “Core competencies” document |  |  |  |  |
|  | Do all staff receive updated training at least every 3 years and do they engage in some sort of update activity (eg accessing newsletters, discussion in team meeting etc at least annually? |  |  |  |  |
|  | How are staff and volunteers kept up-to-date with changes to legislation and guidance, policies and procedures, current themes and issues and learning from Serious Case Reviews or other sources? |  |  |  |  |
|  | Are staff and volunteers able to recognise and respond to different forms of abuse including:   * Domestic abuse * Child Sexual Exploitation * Radicalisation * Female genital mutilation * Grooming * Online risks / abuse * Abuse related to faith / belief * Private fostering * etc |  |  |  |  |
|  | Are relevant staff / volunteers competent in handling difficult conversations and managing conflict? |  |  |  |  |
|  | Does the organisation have an effective system for analysing gaps in knowledge, skills or competence that feeds into the training and development of the staff and volunteers? |  |  |  |  |
| **Safeguarding systems and processes** | | | | | |
|  | Does the organisation have effective and proportionate systems for managing safeguarding across the organisation? |  |  |  |  |
|  | Does the organisation have effective systems for managing safeguarding concerns; including effective record keeping systems that maintain details of concerns, interventions, discussions, advice given / received, agreed actions etc |  |  |  |  |
|  | Are records kept confidential but accessible to staff who need access? |  |  |  |  |
|  | Is a “confidential file” established where identified safeguarding concerns are recorded and monitored? |  |  |  |  |
|  | Do you have clear recording standards for use when reporting safeguarding concerns? |  |  |  |  |
|  | Are staff clear about the recording standards and monitored and supported to consistently apply them? |  |  |  |  |
|  | Are records accurate, up-to-date, clear and compliant with the recording standards? |  |  |  |  |
|  | Is the system for managing safeguarding formally reviewed for effectiveness on a regular basis? |  |  |  |  |
|  | Do you have an effective system for managing the transfer of the confidential file to the follow-on organisation (where required by national guidance)? |  |  |  |  |
|  | Does the recording system bring all safeguarding information relating to the child together into one place? |  |  |  |  |
|  | Does the system include effective monitoring of planned interventions and actions including:   * Clearly identifying the issue * Identifying the intervention * Identifying who is responsible for the intervention * Identifying a clear timescale for the intervention * Clearly identifying the intended outcome of the intervention * Identifying the measure of “success” * Clearly defined and monitored date for review of the plan |  |  |  |  |
|  | Are running chronologies maintained to help inform decision making and avoid slippage? |  |  |  |  |
| **Culture and environment** | | | | | |
|  | Do all staff and volunteers have ready access to key contact numbers including the Safeguarding Lead(s) and Social Care (both in and out of hours contacts)? |  |  |  |  |
|  | Does the organisation actively and effectively foster and promote an understanding that the protection and nurturing of children, young people, and adults at risk of abuse is of paramount importance? |  |  |  |  |
|  | Is there a culture of listening to children and young people non-judgementally and taking account of their views on matters that affect them; both individually and corporately)? |  |  |  |  |
|  | How does the organisation collect the views of children, young people, vulnerable adults, and all other persons (including staff and volunteers) about how safe they feel within the organisation? |  |  |  |  |
|  | Is there an effective culture of listening to disabled people; including those with learning disabilities? |  |  |  |  |
|  | Does the organisation have a code of conduct and clear guidelines for those involved in the provision of pastoral care? |  |  |  |  |
|  | Does the organisation have a clear policy and / or practice guidance for dealing with disciplinary matters and how the individual subject to the discipline will be supported? |  |  |  |  |
|  | Does the organisation have clear processes and expectations that Safeguarding Leads will engage proactively and effectively with statutory services and other partners in order to safeguard children and adults at risk? |  |  |  |  |
|  | How does the organisation help children, young people, their parents and carers and vulnerable adults understand safeguarding and how to protect themselves and minimise risk? |  |  |  |  |
|  | How does the organisation help children, young people and adults at risk to understand that they have a right to be kept safe from abuse, to recognise what is and isn’t abusive and what to do if they feel thay are a victim of abuse? |  |  |  |  |
|  | If internet access is available to children and young people; does the organisation have effective filtering and monitoring software to ensure that they cannot access inappropriate material? |  |  |  |  |
|  | Does the organisation have a culture of openness with parents and a clear structure and role clarity with regard to communication about safeguarding issues? |  |  |  |  |
|  | Is positive behaviour consistently promoted and upheld across the whole organisation? |  |  |  |  |