



# **Guidance for Completion of Self-Audit Safeguarding Standards and Duties Section 11 Children Act 2004**

**Quality Assurance Subgroup of the Local Safeguarding Children Board**

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## PLEASE READ THIS GUIDANCE CAREFULLY BEFORE COMPLETING THE AUDIT TOOL FOR S.11

### 1. Introduction

- 1.1 The duty to comply with section 11 of the Children Act 2004 commenced on 1 October 2005. Section 11 deals with the duty to make arrangements to safeguard and promote the welfare of children in the local area. For further information in respect of the duties laid out under section 11 please visit the following link to the statutory guidance which accompanies the duty: <http://publications.everychildmatters.gov.uk/eOrderingDownload/DFES-0036-2007.pdf>.
- 1.2 This document accompanies the Section 11 Self-Audit Toolkit with the aim of assisting section 11 agencies ([see Appendix A](#)) in the completion of the self audit and to provide examples of evidence. It is not prescriptive and alternative examples and evidence can be provided if it meets the criteria set out in the audit. The Quality Assurance Subgroup (QASG) of the LSCB will collate and assess findings and evidence provided by agencies and report back to the LSCB in June 2010.

### 2. Self-audit process

- 2.1 The first stage of the process is the self-audit, which should be undertaken by a suitably knowledgeable member of staff within your agency. Using this guidance the auditor will complete the self assessment by assessing current levels of practice and noting the evidence against each of the safeguarding arrangements and standards set out. The audit form contains a scoring system using the RAG (red, amber, green) rating approach. Agency auditors (the member of staff completing the audit) should assess each area as either being met (= 4 points), partially met (= 2 points) or not met (= 0 points). Where a standard is not applicable, this should be chosen as an option from the **drop down box provided in the s.11 audit tool (Excel spreadsheet)**. A maximum score of four is attributed to a 'not applicable' choice in order not to prejudice against this when totalling the scores. On the front sheet of the tool, the auditor should total the scores and the aggregate scoring for each standard and arrangement, as well giving an overall score for the audit. This will enable agencies to see at a glance

where they have particular strengths or weaknesses and how they have performed overall in the audit. Where shortfalls in meeting the standards are highlighted by the auditor, agencies will need to identify actions to rectify these within an identified timeframe. The completed audit form is to be submitted to LSCB administration at the following email address [lscb@richmond.gov.uk](mailto:lscb@richmond.gov.uk) by **date to be determined with service**. The Quality Assurance Subgroup of the LSCB will then compile audit findings and report back to the LSCB by **date to be determined with service**.

- 2.2 The assessment process will assist agencies to demonstrate their compliance with the requirements of statutory guidance in respect of [section 11 of the Children Act 2004](#), and allow LSCB members to share best practice when the audit findings have been assessed.

### **3. Evidence**

- 3.1 Evidence may be electronic based such as websites or electronic documentation. If the latter, the source of the material should be cited and this must be made available if further audit is required. Evidence of internal audit work (of case files etc) can be submitted.

#### **3.2 Next steps**

Following completion of the audit, agencies will be given a copy of the findings report and will be invited to comment via the LSCB. Please contact Maria Davey, Safeguarding Support and Administrative Officer or Karen Neill, Head of Safeguarding Quality and Performance or if you have any queries on this process. (Email: [m.davey@richmond.gov.uk](mailto:m.davey@richmond.gov.uk) or [karen.neill@richmond.gov.uk](mailto:karen.neill@richmond.gov.uk) or call 020 8331 6202)

Examples of evidence:

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>A. Strategic and organisational arrangements</b>		
1. Leadership in safeguarding	1.1 There is a named senior manager who champions safeguarding throughout your organisation.	Named in agency's child protection policy
	1.2 Senior managers take responsibility for monitoring the actions of staff to safeguard and promote the welfare of children.	Named in agency's child protection policy
2. A clear statement of the agency's responsibilities towards children is available to staff	2.1 The organisation has a written policy and procedure for safeguarding and protecting children, which has been accredited and endorsed by the LSCB.	LSCB minutes and agenda Notification from LSCB of accreditation and endorsement
	2.2 All staff are made aware of the agency's policy and the importance of listening to children and young people.	Documented evidence of dissemination and availability (i.e. inclusion in handbook, website, induction, team meetings)
	2.3 The policy and procedure has been reviewed since the introduction of Working Together in 2010 and is in line with this guidance and the London Child Protection Procedures (LCPP). <sup>1</sup>	Evidence of reference and adherence to Working Together 2010 and LCPP references in policy and procedure
	2.4 Safeguarding policy and procedure is reviewed on a regular basis to maintain compliance with new legislation and service and personnel changes	Audit log with review dates for policy and procedures produced by the organisation – with cross reference to which updated guidance the revised version is referring to (e.g. Working Together 2010)
	2.5 All staff are aware of their own roles and responsibilities and those of the organisation for safeguarding and protecting children.	Policy, team briefings, mandatory training, induction and training programmes (which are reviewed and updated in accordance with Working Together 2010 and LCPP).

<sup>1</sup> Please note that Working Together and the London Child Protection Procedures have been revised and the latest guidance can be downloaded from these webpages at the:  
Working Together: <http://publications.dcsf.gov.uk/default.aspx?PageFunction=productdetails&PageMode=publications&ProductId=DCSF-00305-2010> .  
LCPP: <http://www.proceduresonline.com/londoncp/>

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>A. Strategic and organisational arrangements</b>		
2. A clear statement of the agency's responsibilities towards children is available to staff	2.6 The policy and procedures help staff to recognise the additional vulnerability of some children against the categories defined in Working Together 2010 (Chapter 11 p19) e.g. disabled children; spiritual or religious beliefs.	Evidence of vulnerability as defined in Working Together (2010) included in the policy and procedures.  Evidence in case file, or data collection of vulnerable status; and action taken to address this.
	2.7 The organisation has effective complaints policies and systems in place for professionals and service users, which are compatible with Working Together 2010 and LCPP.	Complaints policy and procedures and evidence of dissemination to professionals and service users in an appropriate manner.
	2.8 The organisation has effective whistle blowing policies and systems in place for professionals and service users, which are compatible with LCPP.	Whistle blowing policy and procedures and evidence of dissemination to professionals and service users in an appropriate manner.
	2.9 The organisation has effective allegation policies and systems in place for professionals and service users, which is compatible with LCPP Procedure and Guidance.	Allegation policy and procedures and evidence of dissemination to professionals and service users in a sensitive and appropriate manner.
	2.10 The above policies are mandatory for staff and volunteers.	Evidence of adherence, induction and team briefings.
	2.11 All incidents, allegations of abuse and complaints are recorded, monitored and available for internal and external audit.	Evidence of registers and availability for audits.
	2.12 All incidents, allegations of abuse and complaints are dealt with in an appropriate manner inline with organisational and LCPP policy and procedure.	Evidence of implementation of policy and procedure. Registers of outcomes.

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>A. Strategic and organisational arrangements</b>		
3. A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children.	3.1 The organisation has a clear written accountability framework in respect of safeguarding children, which covers individual, professional and organisational accountability.	Evidence of statement.
	3.2 All staff are clear about with whom they should discuss, and to whom they should report, any concerns about a child's welfare	Contractual framework, induction, team meetings, evidenced supervision, organisational trees. Evidence of your contracted services complying with Section 11.
	3.3 All staff are clear about their own responsibilities for safeguarding and promoting the welfare of children, individually, professionally and organisationally.	Named individual and evidence of dissemination.
4. Service development takes account of the need to safeguard and promote welfare	4.1 Service plans consider how the delivery of services will take account of the need to safeguard and promote the welfare of children.	Business plans for own and contracted organisations Evidence of implementation (review and monitoring)
	4.2 Service plans are informed, where appropriate, by the views of children and families	Workshops or surveys of children's views and how this has impacted upon service planning.
	4.3 Training on safeguarding and promoting the welfare of children is proportional and relevant to the roles of staff and volunteers.	Training programmes and strategies. Records of attendance at training days.

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>B. Working with children and families</b>		
5. Service development is informed by the views of children and families.	5.1 Service development plans are informed by the views of children and families.	<p>Customer feedback processes, e.g. survey, forums, staff feedback.            Business plans for own and contracted organisations have statements that reflect input from children and families            Evidence of implementation</p> <p>CAF form, referral forms, feedback, surveys, participation forums, audits, case file comments, publicity material, individual responses.            Evidence in case file/service planning</p>
6. Individual case decisions are informed by the views of children and families.	6.1 Individual assessments, case decisions and plans are informed by the views of children and families.	Evidence in case files, assessments and plans
7. Effective inter-agency working enabling information sharing to service users	7.1 Children are made aware of their right to be safe from abuse. This is achieved through information made available, for children, young people and parents about where to go for help in relation to maltreatment and abuse.	Websites, posters, prominent display, child guides, individual case file management involving information given to specific children Evidence in case file
	7.2 Information provided is in a format and language that can be easily understood by all service users.	Provision for age and ability, language and disability in literature. Evidence in case file

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>C. Staff training and workforce development</b>		
8. Staff training on safeguarding and promoting the welfare of children for all staff working with or in contact with children and families.	8.1 The organisation has an induction process for all staff and volunteers that includes familiarisation with policy and procedures.	Evidence of induction process with familiarisation of policy and procedures and implementation.
	8.2 Appropriate staff and volunteers who work with or have contact with children and families receive training on their professional roles and responsibilities and those of their organisation.	Tiered training programme. Systems in place to ensure workforce is fit for purpose. Induction. Reviews of what the workforce needs in terms of specific training. Evidence for case file worker
	8.3 Appropriate staff and volunteers are trained to recognise signs of abuse and neglect.	Tiered training programme available to staff. Training database recording training offered, type and take-up.
	8.4 Outcomes and findings from reviews and inspections are disseminated to appropriate staff and volunteers.	Evidence of dissemination.

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>D. Safe recruitment</b>		
9. Safe recruitment	9.1 The organisation has a recruitment policy which ensures professional and character references are always taken up.	Recruitment policy and procedure. Evidence of implementation. <b>Evidence in worker personnel file</b>
	9.2 Any anomalies in respect of references are resolved.	Recruitment policy and procedure. Evidence of implementation. <b>Evidence in worker personnel file</b>
	9.3 Identity and qualifications are verified.	Recruitment policy and procedure. Evidence of verification process. <b>Evidence in worker personnel file</b>
	9.4 Where appropriate enhanced or standard CRB checks are completed on all those staff and volunteers who work primarily or directly with children and young people and their managers; those in other jobs whose work offers them the opportunity of regular contact (including indirect contact by phone or internet) or places them in a position of trust (e.g. priests, police officers) and those who have access to personal and sensitive information about children and young people (e.g. ContactPoint, CAFs etc).	Recruitment policy and procedure. CRB register against staff names. Does the policy ensure who needs what level of CRB check?  <b>Evidence in worker personnel file</b>
	9.5 Face to face interviews are carried out.	Recruitment policy and procedure. <b>Evidence in worker personnel file</b>
	9.6 Previous employment history and experience is checked.	Recruitment policy and procedure. Implementation shows evidence of process. <b>Evidence in worker personnel file</b>

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>D. Safe recruitment</b>		
9. Safe recruitment	9.7 Employees involved in the recruitment of staff to work with children have received training as part of the 'safer recruitment training' programme.	Recruitment policy and procedure. Register of training received by appropriate staff. Training programme provides evidence of 'safer recruitment' content.

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>E. Effective inter-agency working and information sharing (cont.)</b>		
10. Effective inter-agency working to safeguard and promote the welfare of children  See also Working Together (2010)	10.1 The organisation has identified principles of working with children and their families for all staff to work within.	Evidence of principles in policy and procedures
	10.2 Staff understand when to discuss a concern about a child's welfare with a manager.	Evidence in latest policy and procedures and evidence that this has been disseminated well to staff members. Supervision evidence on case file recording.
	10.3 Staff understand well the threshold for making a referral to Children's Specialist Services and can differentiate between a child welfare concern and a child protection concern.	Training programme include differentiation between child welfare and child protection. Understanding of current threshold documentation.  Evidence of referral to appropriate services – cite case instances.
	10.4 Staff have access to inter-agency guidance and procedures.	Evidence of dissemination of LSCB literature and documentation.
	10.5 Staff participate in multi-agency meetings and forums to consider individual children.	Evidence of attendance at meetings and forums. Audits of attendance. <b>Evidence in individual case files of attendance at strategy meetings, child protection conferences and core groups.</b>

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>E. Effective inter-agency working and information sharing (cont.)</b>		
<p>10. Effective inter-agency working and information sharing in order to ensure safeguarding and promoting children's welfare (cont.)</p> <p>See also Working Together (2010)</p>	<p>10.6 Staff know how and when to share information in a way that is both legal and ethical to safeguard and protect children (e.g. Child Index, CAF, child welfare concerns and child protection concerns).</p>	<p>Information sharing protocols disseminated.</p>
	<p>10.7 Data collected is made available to the LSCB, practitioners, users and commissioners.</p>	<p>Audit findings shared with LSCB, practitioners, users and commissioners.</p> <p>Individual case file information shared appropriately.</p>
	<p>10.8 As a minimum the organisation evaluates outcomes from the perspective of the child or young person.</p>	<p>Policy and procedures</p> <p><b>Evidence from case files</b></p>

Safeguarding arrangements	Minimum standard	Examples of evidence
<b>E. Effective inter-agency working and information sharing (cont.)</b>		
	10.9 The organisation has in place a programme of internal audit and review that enables them to continuously improve safeguarding practices to ensure children and young people are safe from harm or neglect.	Evidence of audit programme and outcomes. Evidence of communication of findings. Evidence of implementation of findings.

## Appendix A: Section 11 agencies

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Section 11 duties apply to each of the following:

- (a) A children's services authority in England (local authority);
- (b) A district council which is not such an authority;
- (c) A Strategic Health Authority;
- (d) A Special Health Authority, so far as exercising functions in relation to England, designated by order made by the Secretary of State for the purposes of this section;
- (e) A Primary Care Trust;
- (f) An NHS trust all or most of whose hospitals, establishments and facilities are situated in England;
- (g) An NHS foundation trust;
- (h) The police authority and chief officer of police for a police area in England;
- (i) The British Transport Police Authority, so far as exercising functions in relation to England;
- (j) A local probation board for an area in England;
- (k) A youth offending team for an area in England;
- (l) The governor of a prison or secure training centre in England (or, in the case of a contracted out prison or secure training centre, its director);
- (m) Any person to the extent that he is providing services under section 114 of the Learning and Skills Act 2000 (c. 21).

### Further information:

**The Children Act 2004:** [http://www.opsi.gov.uk/Acts/acts2004/ukpga\\_20040031\\_en\\_3#pt2-pb1-l1g11](http://www.opsi.gov.uk/Acts/acts2004/ukpga_20040031_en_3#pt2-pb1-l1g11)

**Statutory guidance on making arrangements to safeguard and promote the welfare of children under section 11 of the Children Act 2004:** <http://www.everychildmatters.gov.uk/files/CB6A73D97A171A201EF5ED4F26B0B55D.pdf>

**Working Together to Safeguard Children: A guide to inter-agency working to safeguard and promote the welfare of children:** <http://publications.dcsf.gov.uk/default.aspx?PageFunction=productdetails&PageMode=publications&ProductId=DCSF-00305-2010>

**London Child Protection Procedures:** <http://www.proceduresonline.com/londoncp/>

**Richmond Local Safeguarding Children Board procedures:** <http://www.proceduresonline.com/richmond/childcare/>