

Section 11 Self-Assessment Tool 2017/19

Guidance on how to use the tool for auditors



Introduction

Thank you for taking the time to complete the self-assessment Section 11 Audit on behalf of your agency for both Cambridgeshire Local Safeguarding Children Board and Peterborough Safeguarding Children Board.

The LSCBs are carrying out a Section 11 Audit in to monitor the effectiveness of agencies' safeguarding children arrangements across Cambridgeshire and Peterborough. Section 11 of the Children Act 2004 places a duty on agencies to safeguard and promote the wellbeing of children and young people. The findings from the self-assessments will enhance the LSCBs understanding of agencies safeguarding processes across the area by identifying effective safeguarding practice and areas for improvement.

Please find attached a copy of the section 11 self-assessment tool, guidance for completing the audit tool, and a Section 11 agency summary report. Please ensure that supporting evidence is referenced by providing details of the document and where it is stored, but do not submit, attach or embed documents into the template unless requested by either LSCB.

This year the Safeguarding Boards have produced a joint Section 11 Self-assessment Tool. If your agency works across both Peterborough and Cambridgeshire please complete 1 tool but submit this to both boards. (Please see further details on page 6)

The deadline for submission of all returns is 19th July 2017. Please submit electronic copies only.

The attached guidance is to assist agencies in completing the self-assessment. Once you have read this guidance, if you still have questions on completing the self-assessment do not hesitate to contact:

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What is Section 11?

Safeguarding children is everyone's responsibility. Section 11 of the Children Act 2004 places duties on a range of organisations and individuals to ensure their functions, and any services that they contract out to others, are discharged having regard to the need to safeguard and promote the welfare of children.

Section 11 does not give organisations any new or additional functions, nor does it override their existing functions. Rather it seeks to ensure that, when organisations go about their day to day business, they do so in a way that takes into account the need to safeguard and promote the welfare of children. In practice this means that organisations need to have in place safe systems and processes. An example of this is ensuring that staff are trained in safeguarding, safeguarding policies and procedures and safe recruitment process are in place, and commissioning arrangements include a requirement to safeguard children.

Section 11 Self-Assessment Tool 2017/19

Guidance on how to use the tool for auditors

Who does Section 11 apply to?

Section 11 places a duty on:

- Local Authorities 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 NHS England and Clinical Commissioning Groups, NHS Trusts and NHS Foundation Trusts
- The police including Police and Crime Commissioners, and the Chief Officer of each police force in England, and the Mayor's Office for Policing and Crime in London.
- The British Transport Police
- The National Probation Service and Community Rehabilitation Companies
- Governors/Directors of Prisons and Young Offender Institutions
- Directors of Secure Training Centres
- Principals of Secure Colleges
- Youth Offending Teams/Services
- CAF/CASS (Children and Family Courts Advisory and Support Service)

How do we know if Section 11 is being implemented properly?

Working Together to Safeguard Children (2015) requires Local Safeguarding Children Boards to assess whether "LSCB Partners are fulfilling their statutory obligations." To ensure that this is happening Local Safeguarding Children Boards undertake an audit that looks at agencies compliance with Section 11. This is undertaken every two years by way of a single agency self-assessment toolkit. Each partner agency is asked to complete the self-assessment and provide evidence of how they comply with Section 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. Where agencies have not fully met the Section 11 Standards they will be asked to produce an action plan to address any areas of development that they have identified.

Guidance notes to support the completion of the Section 11 self-assessment tool

This assessment tool has been designed to provide agencies with the opportunity to highlight areas of strength and to identify areas for development in respect of their section 11 duties and responsibilities. This will assist the LSCB partnership in identifying where to target support in order to drive forwards safeguarding standards.

Completing the assessment tool

1. If an agency decides that a particular strand within the assessment tool is not applicable the agency must clearly set out why the standard is not relevant and a possible alternative.
2. When referring to children, the standard includes all children and young people aged 0 to 18 years
3. Safeguarding and promoting the welfare of children is defined within Working Together to Safeguard Children 2015 as:
 - a. Protecting children from maltreatment
 - b. Preventing impairment of children's health or development
 - c. Ensuring that children are growing up in circumstances consistent with the provision of safe and effective care and taking to enable all children to have the best outcomes

This tool covers the continuum of safeguarding need from early safeguarding provision to statutory child protection processes.

Grade Descriptors

Guidance on how you grade the standards is contained within the grade descriptors.

The traffic light system indicates how an organisation considers itself against achieving the minimum standard, whilst identifying any areas for improvement if applicable.

If your organisation assesses itself, as Not Met (red) or Partly Met (amber), areas for development need to be recorded along with a timescale for completion.

Fully Met (green) indicates that all areas exceed the minimum requirements and indicate innovative and exceptional practice

Partly Met (amber) indicate areas for improvement or review, but that most meet the minimum requirement

Section 11 Self-Assessment Tool 2017/19

Guidance on how to use the tool for auditors

Not Met (red) indicates that areas assessed are below the minimum requirements and that immediate action is necessary

N/A (grey) indicates that this indicator is not applicable to your agency. If you grade the statement as Non-applicable, please ensure that you provide evidence as to why you consider it not to be applicable to your agency

Evidencing the standards

When completing the audit tool and grading your agency against the standards you must be sure that statements made within the completed tool are correct and based on accessible evidence.

This self-assessment tool does not require agencies to submit documentation as evidence; however evidence may be subsequently requested.

The self-assessment must demonstrate the impact (the 'so what') of policies and practice on identifiable improved outcomes for children young people and families for which evidence is available.

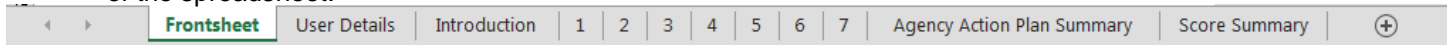
Demonstrating Outcomes

To demonstrate improved outcomes you may, for example, discuss how you identified areas for improved outcomes, what you hoped to achieve, what you did and then set out who was better off and why.

Guidance for completing the audit tool

Getting started

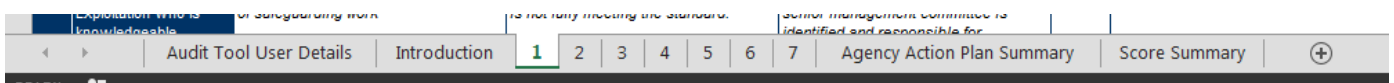
1. The audit is to be completed on the Safeguarding Children Boards Section 11 self-assessment tool template – it is an Excel spreadsheet. The template is also attached to this email.
2. When you open up the Section 11 self-assessment tool, you will see there are different tabs on the bottom of the spreadsheet.



3. Click on 'User Details' to fill in the key details for your agency – organisation name, name of person completing the audit, completion date etc. The finalised audit should be signed off by the most senior person within your organisation.

Completing the Self-Assessment audit

4. The audit is divided into 8 standards, each standard has a separate worksheet. Please click on 'Introduction' tab to see a breakdown of the 8 worksheets.



5. You can either navigate to the worksheets by clicking on the numbers '1' to '8' at the bottom of the spreadsheet or when the page has been fully completed you will have an option to move to the next section by clicking on the link at the bottom of the page.

Section 11 Self-Assessment Tool 2017/19
 Guidance on how to use the tool for auditors

6. Please see an example below of how to complete each worksheet.

[Back to INTRODUCTION](#)

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

Please read each statement below and decide whether your organisation has 'Fully met', 'Partly met' or 'Not met' the standard.		1. Not met	2. Partly met	3. Fully met	Rating	If your score is provide evidence meeting the sta details.
1.1	There is a named person responsible for safeguarding at senior management level / trustee / on senior management committee.	There is no named person responsible for safeguarding at senior management level / trustee / on senior management committee.	<i>Please rate 'Partly met' if your agency has some arrangements in place, but is not fully meeting the standard.</i>	A named person at senior management level or a trustee or on senior management committee is identified and responsible for safeguarding children.		
1.2	All staff or volunteers that come into contact with children and young people are able to access supervision or support in relation to safeguarding.	Staff and volunteers are not supported or supervised regularly in relation to safeguarding children.	<i>Please rate 'Partly met' if your agency has some arrangements in place, but is not fully meeting the standard.</i>	It can be evidenced that staff and volunteers are supported and supervised regularly in relation to safeguarding children.		

Remember to fill in the blanks

Read each statement and think about whether your agency is not meeting, partly meeting or fully meeting this element of the standard.

This column gives you an example of what would constitute 'not meeting' the statement.

This column gives you an example of what would constitute 'partly meeting' the statement.

This column gives you an explanation of 'fully meeting' the statement.

Click on the drop-down box to RAG (Red, Amber, Green) rate your agency's score. If you change your decision, highlight the box and click 'Delete' to make it blank again.

7. When you have graded your agency against each statement, you will be required to provide evidence to support your grading:

Rating	If your grade is 'Fully met' or 'Partly met', please provide detailed evidence of how your agency is meeting this statement including the impact and outcomes.	If your grade is "N/A", please provide full details as to why this statement is not applicable to your agency	If your grade is 'Not met' or 'Partly met' please provide further details on what plans are in place to meet or improve upon the current standards? Who is responsible for these actions and by when?
1			Lead person name/title: Action: Impact: Timescale: Progress:
3			Lead person name/title: Action: Impact: Timescale: Progress:
2			Lead person name/title: Action: Impact:

The grading for this statement is 'fully met' – you will be required to evidence how your agency is meeting the statement.

If your grading is 'not met' or 'Partly met' you will be required to provide details on how your agency plans to make improvements. You should identify what plans will be put in place to improve upon the current standard, identify a lead person, detail how the impact will be measured, give a timescale for completion and details of how your agency will monitor progress against this action.

8. We ask that you fully complete all 7 worksheets. For those agencies who cover Peterborough please complete the 8th worksheet that specifically addresses the area of Neglect. There is no requirement for those agencies who cover Cambridgeshire only to complete this section. Once you have completed the work sheets, the spreadsheet will automatically generate an overall action plan from your responses. Click on 'Agency Action Plan Summary' tab.

Section 11 Self-Assessment Tool 2017/19

Guidance on how to use the tool for auditors

9. The action plan summary will look like this:

AGENCY ACTION PLAN SUMMARY	
Organisation:	0
Date completed:	00/01/1900
Question	Actions transferred from each sheet to Agency Action Tracker
1.1	Lead person name/title: Action: Impact: Timescale: Progress:
1.2	Lead person name/title: Action: Impact: Timescale: Progress:
1.3	Lead person name/title: Action: Impact: Timescale: Progress:
1.4	Lead person name/title: Action: Impact: Timescale: Progress:

The spreadsheet will transfer the comments from the worksheets into these boxes, so you are able to look at all your agency's actions in one place.

10. Once you have completed the work sheets, the spreadsheet will also generate a score summary. Click on 'Score Summary' tab.
11. The score summary will look like this:

Section 11 Audit Tool - Score Summary							Back to INTRODUCTION
Totals for each area							
Standard	No of questions	Not met	Partly met	Fully met	N/A	Unanswered	
1. Senior management commitment to the importance of safeguarding and promoting children's welfare	7	4	0	3	0	0	
2. A clear statement of the agency's responsibility towards children is available to all staff	6	1	0	4	0	1	
3. A clear line of accountability within the organisation for work on safeguarding and promoting the welfare of children	5	0	2	2	1	0	
4. Service development takes account of the need to safeguard and promote welfare and is informed by the views of children and families	6	0	0	5	1	0	
5. Staff training on safeguarding and promoting the welfare of children for all staff working with or in contact with children and families	10	2	1	4	3	0	
6. Recruitment, vetting procedures and allegations against staff	10	0	0	8	2	0	
7. Information sharing	2	0	0	1	1	0	
Total All Areas	46	7	3	27	8	1	

The score summary gives you a breakdown of how well your agency is meeting the standards. For example, on this score summary, the agency is 40% fully meeting the first standard, but 60% not meeting the first standard.

Section 11 Self-Assessment Tool 2017/19

Guidance on how to use the tool for auditors

12. Once you have completed the audit, please ensure it is signed off by your most senior officer within your organisation. If your agency works with children / families in Peterborough please send the finalised electronic copy of the audit to pscb.admin@peterborough.gov.uk

If your agency only works with children / families in Cambridgeshire please send the finalised electronic copy of the audit to lscb@cambridgeshire.gov.uk

If your agency works with children / families in both Peterborough and Cambridgeshire please send the finalised electronic copy of the audit to both pscb.admin@peterborough.gov.uk and lscb@cambridgeshire.gov.uk