

**Appendix 3**

**Safer recruitment and employment checklist**

Review date:       Reviewed by:       Next review date:

This safer recruitment and employment checklist is suitable for use for roles that are subject to Regulation 19(3)(a) of the Health and Social Care Act (Regulated Activities) Regulations 2014 which requires providers to ensure all “Persons employed” by

(including agency, bank staff and volunteers) must:

a. Be of good character

b. have the qualifications, competence, skills and experience which are necessary for the work to be performed by them, and

c. be able by reason of their health, after reasonable adjustments are made, of properly performing tasks which are intrinsic to the work for which they are employed.

To fulfil the legal requirements, regulated services need to make the following available to the Care Quality Commission (CQC) for all persons employed:

* proof of identity, including a recent photograph
* criminal record self-declaration and criminal record check at appropriate level
* satisfactory evidence of conduct in previous employment concerned with the provision of services relating to health or social care or children or vulnerable adults (e.g. reference, written evidence from other persons – but only if it provides information regarding an individual’s conduct)
* if candidate was employed in a role where their duties involved work with children or vulnerable adults, satisfactory verification of reasons why employment ended
* satisfactory documentary evidence of any relevant qualification
* full employment history, together with a satisfactory written explanation of any gaps in employment
* satisfactory information about any physical or mental health conditions which are relevant to the person’s capability to properly perform tasks which are intrinsic to their employment for the purposes of the regulated activity.

**Planning to recruit**

**Policies and procedures**

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| Do you have a clearly documented policy governing the staff to be involved in recruitment and selection of staff?For the appointment of staff to work directly with adults at risk and/or children, do you take reasonable steps to ensure that:* more than one person interviews
* where practical, the Line manager is a member of the formal interview panel
* value-based interviews are undertaken for posts which require them?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| If the role requires the person to work in regulated activity, do you include a statement in job adverts etc. that it’s a criminal offence for people who are barred from working in regulated activity (under the Safeguarding and Vulnerable Groups Act 2006) to apply for roles that require them to work unsupervised with that particular group (i.e. adults at risk, children or both)? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does your recruitment and selection policy include an explicit statement about your commitment to inclusion, safeguarding and promoting the welfare of adults at risk and/or children? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you ensure that the safeguarding commitment statement; and where appropriate the inclusion statement, is included in:* publicity materials
* recruitment websites
* advertisements
* candidate information packs
* person specifications
* job descriptions
* competency frameworks
* induction training
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you send candidates information about the values of the workplace and the associated expected behaviours? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you send candidate’s information on the level of criminal record check required and at what point in the recruitment process disclosure is required? This may include signposting to [Nacro](https://www.nacro.org.uk/nacro-services/advice/) for further advice on self-disclosure rights and responsibilities. |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Have all staff involved in recruitment and selection received appropriate training? Do you ensure that at least one trained person is present on each interview panel? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Application forms and candidate information**

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| When a vacancy is advertised, does the advertisement include a statement about the details of the post and salary, qualifications required, etc; in addition to the employer’s commitment to inclusion, safeguarding and promoting the welfare of vulnerable groups and/or children? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do application forms obtain the following information:* full identifying details of the candidate (current/former names, current address and NI number)
* a statement of relevant academic or vocational qualifications and date of award
* a full history in chronological order since leaving secondary education, including periods of any post-secondary education/training, part-time and voluntary work and full-time employment, with start and end dates, explanations for periods not in employment or education/training, and reasons for leaving employment
* a declaration of any familial or close relationship to existing staff
* disciplinary offences relating to adults at risk and/children (including any conduct related to safeguarding concerns in which the penalty is ‘time expired’), and whether the candidate has been the subject of any safeguarding-related investigations or concerns, and if so, the outcome of any enquiry or disciplinary procedure including referrals to DBS, other professional bodies or the police
* details of at least two referees – at least one referee should be a professional, the candidate’s current or most recent employer. The application form should state that professional references will not be accepted from relatives, work colleagues who are not authorised to provide professional references in an official capacity on behalf of the employer, or from people writing solely in the capacity of friends.
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the application form include a statement of the personal qualities, values and behaviours and experience that the candidate believes are relevant to his/her suitability for the post advertised and how s/he meets the person specification?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| If relevant to the role applied for, are candidates required to provide a signed statement stating that they are not on the list of those barred from working with adults at risk/children or subject to sanctions imposed by a regulatory body? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the application form state that:* all shortlisted candidates must complete a criminal record self-declaration form or disclosure statement stating any cautions and/or convictions they may have under the [Rehabilitation of Offenders Act 1974](https://www.gov.uk/tell-employer-or-college-about-criminal-record/check-your-conviction-caution); or the [Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended in 2020 (as appropriate)?](https://www.dominicheadleyassociates.co.uk/_files/ugd/140a56_f543fa6c6f6b40c38a42b2a31743ef13.pdf?index=true)
* the successful candidate will be required to complete a criminal record check carried out by the DBS at the appropriate level?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the application form state that if the candidate is currently working with adults at risk and/children, their current employer will be asked about disciplinary offences relating to adults at risk and/children (including any conduct related to safeguarding concerns which the penalty is ‘time expired’), and whether the candidate has been the subject of any safeguarding related investigations or concerns, and if so, the outcome of any enquiry or disciplinary procedure including any referrals to DBS, other professional bodies or the police? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the job description clearly state:* the main duties and responsibilities of the post
* the individual’s responsibility for promoting and safeguarding the welfare adults at risk and/or children they are responsible for or come into contact with?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the person specification include:* the qualifications and experience, and any other requirements needed to perform the role in relation to working with adults at risk and/or children
* the competencies, qualities, values and behaviours that the successful candidate should be able to demonstrate
* an explanation of how these requirements will be tested and assessed during the selection process.
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the information pack sent to candidates include the following information:* application form
* job description and person specification
* relevant policies such as equal opportunities and the recruitment of ex-offenders
* the employer’s adult and/or child protection policy statements
* the workplace values and behaviours.
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Recruitment and vetting**

**Shortlisting**

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| Are applications scrutinised to ensure that they are fully and properly completed, that the information provided is consistent and does not contain any discrepancies, and to identify any gaps in employment? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are shortlisted candidates asked to complete a criminal record self-declaration stating any cautions and/or convictions appropriate for the role applied for, in line with ROA 1974 for roles eligible for basic DBS checks; or ROA 1974 and ROA Exceptions Order (as amended in 2020) for roles eligible for standard or enhanced DBS checks? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are reasons for obvious gaps in employment, a history of repeated changes of employment without any clear career or salary progression or a mid-career move from a permanent post to temporary work noted so that they can be explored and verified during the interview? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**References**

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| Are at least two references taken up for each appointment (one of which should be the candidate’s current employer)? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Where references are provided over the phone, do you record a written account and ask the referee to confirm that this is an accurate reflection of the information they have provided? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you check for gaps and any inconsistencies between information given on the application form and provided in any reference(s)? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you ensure that once a reference has been received it is scrutinised, including comparison with the application form for any discrepancies, and any concerns are resolved satisfactorily by carrying out a risk assessment before the appointment is confirmed?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| When requesting a reference, do you send the referee a standard reference request tailored to the role they are recruiting to, a copy of the job description and a copy of the person specification for the post for which the person is applying? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does your standard reference request form ask for the following information:* the referee’s relationship with the candidate
* specific comments about the candidate’s suitability for the post
* whether the referee is completely satisfied that the candidate is suitable to work with adults at risk and/or children and, if not, specific details of the referee’s concerns and the reasons why the referee believes the person may be unsuitable?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do reference requests seek:* confirmation of details of the candidate’s current post, salary, and sick record
* specific verifiable comments about the candidate’s performance history and conduct
* details of any disciplinary procedures the candidate has been subject to in which the disciplinary sanction is current
* details of any allegations, concerns or disciplinary procedures that have been raised about the candidate that relate to the safety and welfare of adults at risk and/or children and the outcome of those concerns/proceedings?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| If a candidate for a post involving direct work with adults at risk and/or children is not currently employed in such a role (or is an agency worker), are checks undertaken with the most recent employer that did employ them in such a role, to confirm details of their employment and reasons for leaving? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| If all questions have not been answered or the reference is vague or unspecific, is the referee telephoned and asked to provide written answers or clarification as appropriate? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is the referee telephoned in order to confirm their identity? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is any information that has been provided about a past disciplinary action or allegations considered in the circumstances of the individual case? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Where telephone references are taken up, are they confirmed as soon as possible in writing? Are notes of any telephone references formally recorded?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments** |
| If it has proved impossible to obtain reference(s), the recruitment decision should be based on relevant evidence gathered throughout the recruitment process together with the employers’ own judgement as to the suitability of the applicant and their fitness to carry out the role.Reasons for the recruitment decision and details of the efforts made to obtain reference(s) should be recorded in a pre-employment risk assessment form, along with the reasons why the information could not be obtained. |

**Interviews**

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| Are interviews conducted by at least two persons, at least one of whom has received specific training in safer recruitment and is aware of the safeguarding agenda? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does the interview process explore:* the candidate’s attitude toward adults at risk and/or children
* their ability to support the employer’s agenda for safeguarding and promoting the welfare of the vulnerable clients in their care
* gaps in the candidate’s employment history
* concerns or discrepancies arising from the information provided by the candidate
* any declarations that the candidate may wish to make in light of the requirement for a criminal records check
* behaviours and motivations by using values-based interview questions?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is consideration given to involving clients/service users in the recruitment and selection process in some way? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you record all interviews and information ascertained and retain such records on the personal file for future reference, for at least 6 months in case of a challenge by an unsuccessful candidate? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Pre-appointment checks**

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| Is an offer of appointment to the successful candidate conditional upon:* the receipt of at least two satisfactory references
* verification of the candidate’s identity
* a check of the adults and/or children’s barred lists for those working in regulated activity and, where appropriate, a satisfactory DBS enhanced disclosure
* verification of qualifications
* verification of professional status where required
* satisfactory completion of the probationary period

Do you ensure that new staff are not able to work unsupervised until all relevant checks are received?Do you ensure that all of the above checks are confirmed in writing, retained on the personnel file and followed up where they are unsatisfactory or there are discrepancies in the information provided? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do all new staff serve a 3–6 month period of probation in accordance with conditions of service? Is this made clear to the candidate at the interview? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Barred list / DBS check**

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| Is an enhanced DBS check requested for all new employees working in regulated activity including those moving internally into such posts? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is original documentation to support proof of identity always obtained, such as a birth certificate, photo driving licence, or a passport?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you check I.D. for the DBS application form in accordance with the [current guidelines](https://www.gov.uk/government/publications/dbs-identity-checking-guidelines#how-do-i-check-for-indicators-of-fraud)? Are copies made for personnel records? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you maintain an up to date list of all volunteer helpers used in the workplace? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you store a copy of the risk assessment, which should include any recommended safeguards that have been put in place to minimise risk, securely together with a copy of the self-declaration and copy of the original certificate in line with DBS Handling of certificate information guidance and UKGDPR/DPA 2018 requirements? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you undertake criminal records checks or any other appropriate checks on foreign nationals (i.e. candidates with a limited or no prior period of residence in the U.K.)? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Use of volunteers**

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| If you are seeking volunteers do you use equivalent recruitment measures as you would for paid staff? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a policy covering which types of volunteers require a standard or enhanced DBS check? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| When appointing volunteers do you still:* seek references
* conduct an informal interview to gauge the person’s aptitude and suitability
* undertake an enhanced DBS with barred list check for any volunteers who are in regulated activity?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Contractors**

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| Do you ensure that firms providing services that engage in regulated activity have undertaken enhanced DBS check with barred list check? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you obtain assurance that all staff that work directly with adults at risk/children have been subject to the required checks? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| If no checks are undertaken do you have appropriate measures in place to reduce any associated risks? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you ensure that staff employed by other agencies that have regular contact with adults at risk/children in the workplace have been subject to DBS checks at the appropriate level available for the activity in which they are engaged? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you ask for written confirmation that where relevant criminal record self-declaration, detailed references and DBS checks (where appropriate) have been obtained by the agency that indicate there are no reasons the person should not be employed to work with adults at risk and/or children? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| In the appointment of agency staff engaging in regulated activity (under the Safeguarding and Vulnerable Groups Act 2006), do you obtain: * two satisfactory references
* medical clearance
* enhanced DBS check with barred list check?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Induction and probation**

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| Have you developed and embedded a workplace Code of Conduct for all staff which is shared with new recruits as part of the offer of employment documentation which they sign? Is it reshared with them within the first week of employment as part of induction? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a clear set of induction standards and an induction plan which all managers are responsible for following with new recruits, including an emphasis on expected conduct, boundaries, safeguarding and sharing of concerns?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have procedures in place to monitor new employees during their probation period? (e.g. new staff could be subject to periodic unannounced peer review; line managers could receive feedback on the progress of staff who report directly to another member of the team?) |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are new staff provided with training on safeguarding and safer working practices, appropriate conduct and living the workplace values and behaviours in their work? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you put in place probationary periods for new recruits and a process for managing people in their probationary period to include regular one-on-ones with their line manager where conduct, performance and development needs are discussed at least monthly? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do managers identify and share any concerns about the conduct of the individual during their induction and probationary period with them in a timely manner, giving them an opportunity to address concerns and improve their performance? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do managers record any concerns in the induction and probationary period, detailing evidence of the concerns, training and support put in place, improvements and actions taken? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is an evaluation undertaken at the end of the probationary period? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you extend probationary periods when there are concerns about the individual’s conduct in post or where they have not met their objectives and expected standards? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you use the probationary period final review to make a decision on continuing to employ the individual or not based on whether their conduct is suitable for the role and the workplace? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have an induction programme for all newly appointed staff and volunteers to:* provide training and information about the employer’s policies and procedures
* support individuals in a way that is appropriate for the role for which they have been engaged
* confirm the conduct expected of staff in relation to safe working practices with children and young people or vulnerable adults
* provide opportunities for a new member of staff or volunteer to discuss any issues or concerns about their role or responsibilities
* enable the person’s line manager or mentor to recognise any concerns or issues about the person’s ability or suitability for work with the client group at the outset and address them immediately?
 |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you ensure that both the new worker and the line manager make a signed record that the induction process has been completed satisfactorily, which is then kept on file? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is formal adult and/or child protection training provided for all staff that have contact with adults at risk and/or children, updated regularly and embedded in performance management systems? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is there clarity amongst staff in relation to what constitutes safe working practices with vulnerable client groups? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is additional training on safer recruitment available to those who recruit staff and is this regularly updated? Does this include values-based training for those required to undertake these interviews? Can managers evidence that such training has been undertaken and updated? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is training mandatory for employees who do not have direct contact with adults at risk/children but who do have access to information systems containing details of these service users? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are staff provided with clear codes of conduct and guidance on safe working practices? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is a positive obligation for safeguarding vulnerable groups placed overtly on all employees? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are the needs of adults at risk and/or children adults paramount, they are listened to and any concerns about their welfare are acted upon promptly? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Supervision and management**

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| Are all employees monitored by their line manager to ensure that all staff comply with expected behaviours and attitudes that constitute best practice in relation to safeguarding? Is this monitoring evidenced through performance management and professional development arrangements? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have clear and up-to-date policies, procedures, standards and guidance on effective supervision and performance management of staff? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are performance, objectives, values and behaviours, wellbeing, safeguarding and conduct discussed with employees through a regular cycle of conversations throughout the year, not just at an annual performance appraisal? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are managers trained to carry out effective supervision, including how to identify and discuss safeguarding and conduct concerns and how to have difficult conversations? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Does supervision take place regularly, at least once a month, either face-to-face or virtually? Where a risk assessment has identified risks at the recruitment or vetting stage, is additional supervision put in place? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do managers spend time observing (in person or virtually) employees in their work, gathering evidence of their performance and conduct in post throughout the year, celebrating and recognising good performance and conduct and addressing poor performance and conduct? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are employees encouraged to reflect on their performance and conduct in supervision and performance management, and to ask for support and guidance when needed? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are notes from supervision meetings and one-to-ones, including any concerns, recorded, shared with the employee and stored by the line manager in a confidential electronic file?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are notes from performance reviews, appraisals and formal management conversations recorded, shared with the employee and stored in the employee’s personnel file? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Identify and manage concerns**

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| Do you have an open culture where the reporting of concerns is encouraged and supported by the most senior leaders? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have whistleblowing, sharing concerns, low-level concerns and allegations against staff policies in place and do all staff know how to respond to and report concerns? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is information about how to identify and raise concerns available, accessible and easy to understand for service users and are they encouraged to share concerns? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a disciplinary and grievance policy which complies with the ACAS code of practice and which is followed in all formal disciplinaries, grievances and investigations? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are managers trained in how to carry out effective investigations into allegations and concerns around the conduct of employees, and how to undertake effective and fair disciplinaries? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a trained and experienced designated person for safeguarding who advises and supports managers and staff and oversees any investigations and safeguarding concerns? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are relevant, detailed records of concerns raised, investigations carried out and action taken on concerns kept in a confidential file? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do managers display courageous leadership in tackling and managing concerns and making employment decisions with a safeguarding mindset? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have clear policies and procedures including how to deal with allegations made against staff and volunteers? Has the policy been clearly communicated to staff, volunteers and family? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a whistle-blowing policy that has been publicised to all and on which all staff have been briefed? Are all concerns acted upon in a fair and timely manner? Is there evidence that whistle-blowing is being used appropriately to improve outcomes? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have an accessible complaints procedure to allow service users to raise concerns? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is there evidence that complaints are fully investigated and accurately recorded? Do you retain records of concerns securely?  |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are appropriate disciplinary procedures applied when safeguarding measures are not strictly adhered to? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are there clear policies in place regarding the transportation of vulnerable groups ensuring that safeguarding principles are strictly observed? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are formal audits of monitoring systems conducted regularly which identify improvements and which allow time for these improvements to be achieved? Are the results recorded and reported effectively? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |

**Managing exits and referring information**

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| Do you have an effective exit process for capturing and recording information relevant to the individual’s employment at the point they leave the employer? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Are investigations and disciplinaries relevant to conduct and safeguarding carried out and concluded even where individuals resigns before the end of the process? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do leaders understand the importance of and are they committed to sharing and referring relevant conduct information to safeguard and protect children and adults? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have a policy on the sharing of information and are managers and staff trained in who and how safeguarding and conduct information can be effectively, fairly and safely shared both internally and externally? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is relevant information about conduct or safeguarding concerns of agency staff shared with recruitment and temporary staff agencies in line with agreed protocols? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Is relevant information about conduct or safeguarding concerns where staff have or may have harmed adults at risk/children referred to the DBS, the police, the Local Authority Safeguarding Adults Team or LADO (if concerns relate to children and professional bodies? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you share relevant conduct information and safeguarding concerns with other employers when providing references as part of their commitment to safeguarding? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |
| Do you have effective, UKGDPR/DPA 2018-compliant systems in place for recording decisions and the rationale for sharing information with other employers or individuals? |
| **Current status**[ ]  Yes [ ]  No |
| **Comments**      |