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Professional Certificate in Safeguarding Audit

## Legislation and Policy Frameworks

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### Legislation and Policy Frameworks

Legislation and Policy Frameworks refer to the laws and regulations that govern the safeguarding of individuals in various settings, as well as the policies that organizations develop to ensure compliance with these laws. In the context of the Professional Certificate in Safeguarding Audit, understanding Legislation and Policy Frameworks is crucial for conducting effective audits to assess compliance and identify areas for improvement.

#### Adult Safeguarding

Adult Safeguarding refers to the process of protecting adults who may be at risk of harm, abuse, or neglect. This includes vulnerable adults who may have physical or mental impairments that make them more susceptible to harm. Legislation and Policy Frameworks related to adult safeguarding aim to ensure that adults are protected from harm and that appropriate support and interventions are in place to safeguard their well-being.

#### Children Safeguarding

Children Safeguarding involves protecting children from harm, abuse, and neglect. Legislation and Policy Frameworks related to children safeguarding are designed to ensure that children are safe, supported, and able to thrive in their environments. Safeguarding audits in organizations that work with children are essential to assess compliance with these laws and policies and to identify areas for improvement in safeguarding practices.

#### Disclosure and Barring Service (DBS)

The Disclosure and Barring Service (DBS) is a government organization in the United Kingdom that helps employers make safer recruitment decisions and prevent unsuitable individuals from working with vulnerable groups, including children and adults at risk. The DBS conducts checks on individuals' criminal records and barred lists to assess their suitability for certain roles. Safeguarding audits may include verifying that organizations have appropriate DBS checks in place for staff working with vulnerable groups.

#### Data Protection Act

The Data Protection Act is a piece of legislation in the United Kingdom that governs how organizations collect, store, and use individuals' personal data. Compliance with the Data Protection Act is essential for safeguarding individuals' privacy and preventing unauthorized access to sensitive information. Safeguarding audits may include assessing organizations' data protection policies and practices to ensure compliance with the Data Protection Act.

### Duty of Care

Duty of Care refers to the legal obligation of individuals and organizations to take reasonable measures to ensure the safety and well-being of others. This duty applies to professionals working in roles where they have a responsibility for the welfare of vulnerable individuals, such as children or adults at risk. Safeguarding audits may assess how well organizations fulfill their duty of care and whether appropriate safeguards are in place to protect those in their care.

### Equality Act

The Equality Act is a piece of legislation in the United Kingdom that protects individuals from discrimination on the basis of characteristics such as age, disability, gender, race, religion, or sexual orientation. Compliance with the Equality Act is essential for safeguarding individuals from unfair treatment and ensuring equal access to services and opportunities. Safeguarding audits may include assessing organizations' policies and practices to ensure compliance with the Equality Act.

### Health and Safety at Work Act

The Health and Safety at Work Act is a piece of legislation in the United Kingdom that requires employers to ensure the health, safety, and welfare of their employees and others who may be affected by their work activities. Compliance with the Health and Safety at Work Act is essential for safeguarding individuals from workplace hazards and preventing accidents and injuries. Safeguarding audits may include assessing organizations' health and safety policies and practices to ensure compliance with this legislation.

### Mental Capacity Act

The Mental Capacity Act is a piece of legislation in the United Kingdom that provides a legal framework for making decisions on behalf of individuals who may lack the mental capacity to make decisions for themselves. The Mental Capacity Act aims to protect the rights and interests of individuals who may be vulnerable due to mental impairment or illness. Safeguarding audits may include assessing how organizations comply with the Mental Capacity Act in their decision-making processes and safeguarding practices.

### Prevent Duty

The Prevent Duty is a legal obligation in the United Kingdom that requires specified authorities, including schools, colleges, and healthcare providers, to take steps to prevent individuals from being drawn into terrorism. Compliance with the Prevent Duty is essential for safeguarding individuals from radicalization and extremism. Safeguarding audits may include assessing how organizations implement the Prevent Duty and provide training to staff on recognizing signs of radicalization.

### Risk Assessment

Risk Assessment involves identifying potential risks and hazards in a particular environment or activity and taking steps to minimize or eliminate these risks. In the context of safeguarding, risk assessments are

essential for identifying areas where individuals may be at risk of harm or abuse. Safeguarding audits may include reviewing organizations' risk assessment processes to ensure that potential risks are identified and mitigated effectively.

### Whistleblowing

Whistleblowing refers to the act of reporting concerns about wrongdoing, malpractice, or risks to individuals' safety within an organization. Whistleblowing is an important safeguarding mechanism for employees who may have information about potential risks or harm. Safeguarding audits may assess organizations' whistleblowing policies and procedures to ensure that employees feel supported and protected when raising concerns about safeguarding issues.

### Confidentiality

Confidentiality refers to the duty of individuals and organizations to protect sensitive information and respect individuals' privacy. In the context of safeguarding, confidentiality is crucial for maintaining trust and ensuring that individuals feel safe to disclose concerns about their well-being. Safeguarding audits may include reviewing organizations' confidentiality policies and practices to ensure that sensitive information is handled appropriately and securely.

### Multi-Agency Working

Multi-Agency Working involves different organizations and professionals collaborating to safeguard individuals at risk of harm or abuse. Multi-agency working is essential for sharing information, coordinating interventions, and providing holistic support to individuals in complex safeguarding cases. Safeguarding audits may assess how well organizations work together in multi-agency partnerships to safeguard vulnerable individuals effectively.

### Safer Recruitment

Safer Recruitment refers to the process of recruiting and selecting staff who are safe to work with vulnerable groups, such as children or adults at risk. Safer recruitment practices include conducting appropriate background checks, verifying qualifications and references, and assessing individuals' suitability for roles that involve contact with vulnerable individuals. Safeguarding audits may include reviewing organizations' safer recruitment policies and procedures to ensure that staff working with vulnerable groups are properly vetted and trained.

### Whistleblowing Policy

A Whistleblowing Policy is a set of procedures that organizations put in place to encourage employees to report concerns about wrongdoing, malpractice, or risks to individuals' safety. Whistleblowing policies aim to create a safe and confidential process for employees to raise concerns without fear of reprisal. Safeguarding audits may assess the effectiveness of organizations' whistleblowing policies in promoting a culture of transparency and accountability in safeguarding practices.

### Prevent Duty Training

Prevent Duty Training is a form of education provided to staff in specified authorities to raise awareness of the signs of radicalization and extremism and their legal obligations under the Prevent Duty. Prevent Duty training aims to equip staff with the knowledge and skills to identify individuals who may be at risk of radicalization and to take appropriate action to safeguard them. Safeguarding audits may assess the quality and effectiveness of Prevent Duty training in helping staff fulfill their safeguarding responsibilities.

### Safeguarding Policies and Procedures

Safeguarding Policies and Procedures are sets of guidelines that organizations develop to ensure the safety and well-being of individuals at risk of harm or abuse. Safeguarding policies outline the organization's commitment to safeguarding, while procedures detail the steps to be taken in response to safeguarding concerns. Safeguarding audits may review organizations' policies and procedures to ensure that they are comprehensive, up-to-date, and effectively implemented to safeguard individuals.

### Confidentiality Policy

A Confidentiality Policy is a set of rules and guidelines that organizations put in place to ensure the protection of sensitive information and individuals' privacy. Confidentiality policies outline how confidential information should be handled, stored, and shared to maintain trust and safeguard individuals' rights. Safeguarding audits may assess organizations' confidentiality policies to ensure that staff are aware of their responsibilities and that confidential information is handled securely and in compliance with data protection laws.

### Equality and Diversity Training

Equality and Diversity Training is education provided to staff to raise awareness of equality laws, promote diversity and inclusion, and prevent discrimination in the workplace. Equality and diversity training aims to create a culture of respect and fairness and ensure that all individuals are treated equitably. Safeguarding audits may assess the quality and effectiveness of organizations' equality and diversity training in promoting inclusive safeguarding practices and preventing discrimination.

### Health and Safety Policy

A Health and Safety Policy is a document that outlines an organization's commitment to ensuring the health, safety, and welfare of its employees and others affected by its activities. Health and Safety Policies detail the responsibilities of staff, procedures for reporting hazards, and measures for preventing accidents and injuries. Safeguarding audits may review organizations' health and safety policies to ensure that they comply with legal requirements and promote a safe working environment for staff and service users.

### Information Sharing

Information Sharing involves the exchange of relevant information between professionals and organizations to safeguard individuals at risk of harm or abuse. Effective information sharing is essential for coordinating

interventions, assessing risks, and providing timely support to vulnerable individuals. Safeguarding audits may assess how well organizations share information within multi-agency partnerships to ensure that individuals' needs are identified and addressed promptly and collaboratively.

### Mental Capacity Assessment

A Mental Capacity Assessment is a process used to determine whether an individual has the mental capacity to make specific decisions for themselves. Mental capacity assessments are conducted in accordance with the Mental Capacity Act to safeguard the rights and well-being of individuals who may lack capacity to make decisions. Safeguarding audits may review organizations' mental capacity assessment processes to ensure that they comply with legal requirements and protect individuals' autonomy and interests.

### Record Keeping

Record Keeping involves documenting information, decisions, and actions taken in relation to safeguarding concerns and interventions. Accurate and timely record keeping is essential for maintaining an evidence trail, tracking progress, and ensuring accountability in safeguarding practices. Safeguarding audits may assess organizations' record-keeping systems to ensure that they are comprehensive, secure, and compliant with data protection laws.

### Safe Recruitment Policy

A Safe Recruitment Policy is a set of procedures that organizations implement to ensure that individuals recruited to work with vulnerable groups are safe and suitable for their roles. Safe recruitment policies include requirements for background checks, qualifications verification, and reference checks to assess candidates' suitability for safeguarding roles. Safeguarding audits may review organizations' safe recruitment policies to ensure that they comply with legal requirements and promote the safety and well-being of individuals in their care.

### Safeguarding Training

Safeguarding Training is education provided to staff to raise awareness of safeguarding issues, laws, and best practices for protecting individuals at risk of harm or abuse. Safeguarding training aims to equip staff with the knowledge and skills to recognize signs of abuse, respond to safeguarding concerns, and prevent harm to vulnerable individuals. Safeguarding audits may assess the quality and effectiveness of organizations' safeguarding training programs in ensuring that staff are competent and confident in their safeguarding roles.

### Supervision and Support

Supervision and Support involve providing guidance, feedback, and assistance to staff working in safeguarding roles to help them fulfill their responsibilities effectively. Supervision sessions allow staff to reflect on their practice, seek advice on complex cases, and address any challenges they may face in safeguarding work. Safeguarding audits may assess how well organizations provide supervision and support to staff to ensure that they are well-equipped to safeguard individuals and maintain professional standards.

### Vulnerable Adult

A Vulnerable Adult is an individual who is aged 18 or over and who may be at risk of harm, abuse, or neglect due to physical or mental impairments. Vulnerable adults may require additional support and protection to safeguard their well-being and rights. Legislation and Policy Frameworks related to vulnerable adults aim to ensure that they are protected from harm and that appropriate interventions are in place to safeguard their welfare.

### Vulnerable Child

A Vulnerable Child is an individual who is under the age of 18 and who may be at risk of harm, abuse, or neglect due to their age, developmental stage, or specific circumstances. Vulnerable children require special protection and support to safeguard their safety, well-being, and rights. Legislation and Policy Frameworks related to vulnerable children aim to ensure that they are protected from harm and that appropriate interventions are in place to safeguard their welfare.

### Whistleblowing Procedure

A Whistleblowing Procedure is a set of steps that organizations follow to address and investigate concerns raised by employees about wrongdoing, malpractice, or risks to individuals' safety. Whistleblowing procedures outline how concerns should be reported, assessed, and resolved to ensure transparency, accountability, and protection for whistleblowers. Safeguarding audits may assess the effectiveness of organizations' whistleblowing procedures in responding promptly and appropriately to safeguarding concerns raised by staff.

### Risk Management

Risk Management involves identifying, assessing, and mitigating risks to individuals' safety and well-being in various environments and activities. Effective risk management processes help organizations anticipate potential hazards, implement controls to reduce risks, and monitor risks over time. Safeguarding audits may assess how organizations manage risks in safeguarding contexts to ensure that individuals are protected from harm and that appropriate safeguards are in place to prevent accidents, injuries, or abuse.

### Information Governance

Information Governance refers to the framework of policies, procedures, and controls that organizations implement to manage and protect information effectively. Information governance ensures that sensitive data is handled securely, stored appropriately, and shared responsibly to safeguard individuals' privacy and confidentiality. Safeguarding audits may assess organizations' information governance practices to ensure compliance with data protection laws and promote the safe handling of sensitive information in safeguarding contexts.

### Complaints Procedure

A Complaints Procedure is a set of steps that organizations follow to address and resolve complaints from

individuals about their experiences, treatment, or services received. Complaints procedures aim to provide a transparent and accessible process for individuals to raise concerns, seek redress, and receive feedback on their complaints. Safeguarding audits may assess the effectiveness of organizations' complaints procedures in promoting accountability, improving services, and ensuring that individuals' voices are heard and respected.

### Capacity Building

Capacity Building involves developing the knowledge, skills, and resources of individuals and organizations to enhance their ability to safeguard vulnerable individuals effectively. Capacity building initiatives may include training programs, resources, and support services that help individuals and organizations build their capacity to prevent harm, respond to safeguarding concerns, and promote a culture of safety and well-being. Safeguarding audits may assess the effectiveness of capacity-building efforts in strengthening organizations' safeguarding capabilities and promoting best practices in safeguarding work.

### Case Management

Case Management involves coordinating and overseeing the care, support, and interventions provided to individuals at risk of harm or abuse. Case managers work with multi-agency teams to assess risks, develop safeguarding plans, and monitor progress in safeguarding cases. Safeguarding audits may assess how organizations manage safeguarding cases, including information sharing, risk assessment, decision-making, and coordination of services, to ensure that individuals receive appropriate support and protection.

### Supervision Policy

A Supervision Policy is a set of guidelines that organizations develop to outline the expectations, procedures, and practices for providing supervision to staff working in safeguarding roles. Supervision policies detail the frequency of supervision, roles and responsibilities of supervisors and supervisees, and the focus areas for supervision sessions. Safeguarding audits may review organizations' supervision policies to ensure that they support staff in fulfilling their safeguarding responsibilities effectively and promoting professional development and well-being.

### Disclosure and Barring Service Check

A Disclosure and Barring Service (DBS) Check is a background check conducted by the DBS to assess an individual's criminal record and barred list status. DBS checks are required for individuals working in roles that involve contact with vulnerable groups, such as children or adults at risk. Safeguarding audits may assess organizations' compliance with DBS check requirements to ensure that staff working with vulnerable individuals have been properly vetted and are safe to work in their roles.

### Equality Impact Assessment

An Equality Impact Assessment is a process used to assess how policies, practices, and decisions may affect individuals from different backgrounds and protected characteristics. Equality impact assessments help organizations identify and address potential discrimination, inequality, or barriers to access and

participation. Safeguarding audits may assess how organizations conduct equality impact assessments to ensure that their safeguarding practices are inclusive, fair, and responsive to the diverse needs and experiences of individuals at risk of harm or abuse.

#### Health and Safety Risk Assessment

A Health and Safety Risk Assessment is a process used to identify hazards, assess risks, and implement controls to protect individuals from harm in the workplace. Health and safety risk assessments help organizations prevent accidents, injuries, and illnesses by identifying and mitigating potential risks. Safeguarding audits may assess organizations' health and safety risk assessment processes to ensure that they comply with legal requirements and promote a safe working environment for staff and service users.

#### Whistleblowing Training

Whistleblowing Training is education provided to staff to raise awareness of whistleblowing policies, procedures, and legal protections for whistleblowers. Whistleblowing training aims to empower staff to raise concerns about wrongdoing, malpractice, or risks to individuals' safety and to follow the correct reporting channels. Safeguarding audits may assess the quality and effectiveness of organizations' whistleblowing training in promoting a culture of transparency, accountability, and ethical practice in safeguarding work.

#### Confidentiality Training

Confidentiality Training is education provided to staff to raise awareness of the importance of confidentiality, data protection laws, and best practices for handling sensitive information. Confidentiality training aims to ensure that staff understand their responsibilities to protect individuals' privacy, maintain confidentiality, and comply with data protection regulations. Safeguarding audits may assess the quality and effectiveness of organizations' confidentiality training in promoting a culture of respect for individuals' rights and ensuring the secure handling of sensitive information in safeguarding contexts.

#### Multi-Agency Working Protocol

A Multi-Agency Working Protocol is a set of guidelines that organizations develop to facilitate collaboration, information sharing, and joint working between agencies involved in safeguarding individuals at risk of harm or abuse. Multi-agency working protocols outline the roles and responsibilities of different agencies, procedures for sharing information, and mechanisms for coordinating interventions and services. Safeguarding audits may review organizations' multi-agency working protocols to ensure that they support effective partnership working and safeguarding practice across agencies.

#### Prevent Duty Compliance

Prevent Duty Compliance refers to organizations' adherence to legal obligations under the Prevent Duty to prevent individuals from being drawn into terrorism. Prevent Duty compliance involves implementing strategies, training, and interventions to identify and address radicalization and extremism risks in the community. Safeguarding audits may assess organizations' compliance with the Prevent Duty to ensure that

they have effective measures in place to safeguard individuals from radicalization and promote community cohesion and resilience.

Safeguarding Governance

Safeguarding Governance involves the structures, processes, and oversight