**Compliance Self Audit**

**Instructions**

* The leadership team should complete this together during a meeting. It should take around 45 minutes to complete.
* One person should facilitate the discussion and one person should record each answers in the tool (this can be same person).
* The audit contains factual questions which can be answered with a yes/in progress/ no/don’t know.
* Please answer honestly, to best of your ability. The tool is looking to assess your status as part of a journey towards continuous improvement.
* If your safeguarding lead is not on your SLT, then you can invite them to the meeting if you think it would be valuable. We suggest that they answer each question last as they may have more knowledge, and it’s important to reflect SLT’s understanding of your progress.
* Please note, throughout the questions the word ‘athlete’ is used – this means anyone taking part in the sporting activities your organisation supports and delivers.
* You will only receive a bespoke action plan if you enter your collective responses online.

The questions begin on the following page.

**Governance:** How do we provide oversight?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Are there staff on the senior leadership team with responsibility for safeguarding? |  |  |  |  |
| 1. Does the leadership team have ultimate responsibility for safeguarding? |  |  |  |  |
| 1. Is there a Safeguarding Champion at Board level? |  |  |  |  |
| 1. Are gaps in provision and organisational learning talked about in senior management meetings? |  |  |  |  |
| 1. Are risks to people considered as part of your organisational risk register? |  |  |  |  |
| 1. Are safeguarding risks considered as part of your organisational risk register? |  |  |  |  |
| 1. Does safeguarding form part of regular reporting to the Board of Trustees through a standing agenda item? |  |  |  |  |
| 1. Does your organisation use third party benchmarks for quality safeguarding practice to make sure your safeguarding practice is consistent and of good quality |  |  |  |  |
| 1. Does your organisation have an independent safeguarding board? |  |  |  |  |

**Strategic planning, decision-making and budgeting:** How do we plan for building a safe culture?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Does your organisation have a safeguarding strategy or a safeguarding goal within the broader organisational strategy? |  |  |  |  |
| 1. Is every strategic goal considered with a safeguarding lens to make sure it is reflected throughout? |  |  |  |  |
| 1. Is there a system in place to gather feedback from staff and participants to inform learning and decision making around safeguarding? |  |  |  |  |
| 1. Do you have a staff safeguarding lead to manage safeguarding activities, or someone with safeguarding lead responsibilities clearly outlined in their job description? |  |  |  |  |
| 1. Does your organisation allocate adequate resources for all elements of safeguarding including funding to make sure every staff member is trained , staff time to support prevention work, staff and external support for case management and support for victims and survivors? |  |  |  |  |
| 1. Does your organisation's values, vision, and/or mission refer to respect for human rights or reference areas such as dignity, fairness, respect and equality? |  |  |  |  |
| 1. Does decision-making in your organisation include human rights impact assessments that analyse the effects your activities have on human rights-holders such staff, local community members, athletes or players, and others? |  |  |  |  |

**Policies and procedures:** How do our policies provide a safe framework?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Does your organisation have an up-to-date safeguarding policy? |  |  |  |  |
| 1. Is your organisation's safeguarding policy reviewed regularly; at least every three years, or in response to learning from cases, or following any change in law? |  |  |  |  |
| 1. Are all staff, trustees, volunteers, ambassadors, or others who do work on behalf of, or represent the organisation required to sign-up to your organisation's safeguarding policy? |  |  |  |  |
| 1. Does the safeguarding policy contain a requirement that all concerns should be shared with the safeguarding lead (or equivalent)? |  |  |  |  |
| 1. Does the safeguarding policy make it clear who is responsible for responding to concerns in a sensitive and accountable manner? |  |  |  |  |
| 1. Does the safeguarding policy contain a commitment to responding to concerns in a timely manner? |  |  |  |  |
| 1. Does the safeguarding policy refer to support for victims and survivors? |  |  |  |  |
| 1. Can all staff, volunteers, parents, carers, and athletes or players access your safeguarding policy easily, in a language or format they can read without any problems? |  |  |  |  |
| 1. Is the safeguarding policy supported by an organisational roll-out plan and procedures? |  |  |  |  |
| 1. Are all staff required to sign-up to your organisation's code of conduct? |  |  |  |  |

**Policies and procedures continued:** How do our policies provide a safe framework?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Is there a clear case management system for responding to, assessing, and monitoring all concerns? |  |  |  |  |
| 1. Is there a clear documentation and storage process for all safeguarding concerns raised, no matter how minor they seem? |  |  |  |  |
| 1. Does your organisation have up to date policies or guidelines that support safeguarding, for example, those that relate to non-recent abuse, confidentiality, information sharing, codes of conduct, dignity at work, vulnerable circumstances etc? |  |  |  |  |
| 1. Does your organisation follow a safer recruitment policy and process for all staff and volunteers, whatever the level in your organisation? |  |  |  |  |
| 1. Does your organisation have an up-to-date policy that covers conflicts-of-interest? |  |  |  |  |
| 1. Does your organisation have an up-to-date policy that covers Diversity, Equality and Inclusion? |  |  |  |  |
| 1. Does your organisation have an up to date policy that covers whistleblowing or speaking up? |  |  |  |  |
| 1. Does your organisation have an up to date human rights policy or statement that sets out how your organisation respects human rights by having policies and processes in place to identify, prevent, mitigate and account for how it addresses its adverse human rights impacts? |  |  |  |  |

**Support, training, and capacity building:** Are we giving our staff the tools they need?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Do all staff, trustees, volunteers, ambassadors, or others who do work on behalf of, or represent the organisation, undertake induction and ongoing training on safeguarding? |  |  |  |  |
| 1. Does your organisation regularly monitor and evaluate the impact of safeguarding training on attitudes and behaviours? |  |  |  |  |
| 1. Do safeguarding leads receive specialist training and support for their role? |  |  |  |  |
| 1. Do safeguarding staff have access to regular support and guidance from a supervisor, manager, mentor, or peer to discuss ongoing cases and issues arising from them, reflect on and learn from practice, and support wellbeing? |  |  |  |  |
| 1. Does your organisation provide support and training for athletes or players to help them understand their rights? |  |  |  |  |
| 1. Do all staff (including leadership) undertake induction and ongoing training on values? |  |  |  |  |
| 1. Do all staff (including leadership) undertake induction and ongoing training on human rights – what they are and why they are important? |  |  |  |  |
| 1. Do all staff (including leadership) undertake induction and ongoing training on Diversity, Equality, and Inclusion? |  |  |  |  |
| 1. Do you undertake a regular Training Needs Analysis of staff? |  |  |  |  |
| 1. Does your organisation have a comprehensive approach to staff learning, including a range of options for learning (mentoring, training, shadowing, self-study, group activities) to suit different learning styles, with clarity on core training and optional activities? |  |  |  |  |

**Partnerships and Communication:** How do we make sure our stakeholders know about safeguarding?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Questions** | **Answers** | | | |
| **yes** | **in progress** | **no** | **don’t know** |
| 1. Does your organisation communicate clearly (in policies, training, on notice boards, on the website) who are the people to report a concern to, and how to contact them (phone numbers, email addresses)? |  |  |  |  |
| 1. Does your organisation have a specific plan for communicating about safeguarding and athlete rights, to staff and volunteers? |  |  |  |  |
| 1. Does your organisation have a specific plan for communicating about safeguarding and athlete or player rights, to athletes or players and parents/carers? |  |  |  |  |
| 1. Does your organisation think about and manage any safeguarding risks linked to its communication activities? |  |  |  |  |
| 1. Does your organisation publish overviews or insights from recent and non-recent safeguarding cases, including:  * Number of cases * Overview of the most common issues/topics received through complaints * How complaints were resolved: type of action taken * What lessons were learned * What you are doing to prevent these cases? |  |  |  |  |
| 1. Are there robust processes in place to make sure service providers, partners and sponsors meet the safeguarding standards of your organisation? |  |  |  |  |
| 1. Does your organisation provide resources (insight, funding etc) to support partners to improve their safeguarding practice? |  |  |  |  |
| 1. Does your organisation’s website show a commitment to its values? |  |  |  |  |
| 1. Does your organisation publicly commit to the UN Guiding Principles on Business and Human Rights? |  |  |  |  |