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**HSE Children First National Office**

**Compliance Assurance Framework**

HSE Children First Compliance Assurance Checks are undertaken by the HSE Children First National Office to provide HSE and HSE Funded services, and the HSE as an organisation, a measure of compliance with the Children First Act 2015, Children First National Guidance for the Protection and Welfare of Children (2017) and the HSE Child Protection and Welfare Policy. Compliance Assurance Checks aim to drive service improvement by reviewing practical implementation of Children First requirements at service level; identifying where compliance is evidenced, and/or areas in need of improvement. Currently, services are required to complete a [Children First Compliance Self-Audit Checklist](https://www.hse.ie/eng/services/list/2/primarycare/childrenfirst/compliance-self-audit-checklist/) on an annual basis and Progress Reports are submitted biannually as part of the Children First Governance Structures. Compliance Assurance Checks provide an additional level of assurance and an independent measure of Children First compliance. While Children First Compliance Assurance Checks support HSE Children First Governance, their primary aim is to support and enhance child safeguarding arrangements across HSE and HSE funded services.

Compliance Assurance Checks are undertaken by HSE Children First Training and Development Officers (TDOs) in consultation with service providers. Following a Compliance Assurance Check, a report is issued to service providers, a copy of which is submitted to the relevant HSE Head of Service and Senior Manager with delegated responsibility for the service area e.g. Chief Officer, CEO of Funded Service, National Service Manager. This Framework was developed by the HSE Children First National Office to support transparent and consistent decision making. Service providers are encouraged to use this Framework to quality assure the standard of Children First compliance within their service.

**Note:** Documentary evidence, including submission of relevant policy and/or procedure documentation, may be requested as part of this process. While these documents may be ‘spot checked’ for specific content, the compliance assurance process does not include a quality assurance review of policies and procedures.

**Important:** HSE Children First Compliance Assurance Checks do not exclude the possibility of the [Tusla - Child and Family Agency, Child Safeguarding Statement Unit (CSSCU)](https://www.tusla.ie/children-first/child-safeguarding-statement-compliance-unit-csscu/) from undertaking a Child Safeguarding Statement compliance review as per their statutory remit under the Children First Act 2015.

All queries regarding use of this document should be directed to the HSE Children First Training and Development Officer(s) in your area, contact details can be found by clicking [here](https://www.hse.ie/eng/services/list/2/primarycare/childrenfirst/contactus/), or at [www.hse.ie/childrenfirst](http://www.hse.ie/childrenfirst).

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| **1. Children First Act 2015** | | | |
| **Requirement**   * 1. An assessment of any potential for harm to a child must be undertaken i.e. risk assessment. **Note:** ‘harm’ as defined in the Children First Act 2015. | | | |
| Potential sources of evidence:   * Documentary evidence of a Risk Assessment (whether embedded in the CSS or a separate service specific risk assessment document). * Communication with Relevant Person and/or Service Manager (whoever is most appropriate) regarding the process for completing the risk assessment. * Documentary evidence that the controls listed are in place (TDO may request to view a policy or procedure in full or a scan of cover and contents page may suffice). * Desktop review/conversation with most appropriate person to gather information about the service and the activities that it provides. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| * + 1. Has an assessment of risk (i.e. any potential for harm to a child while availing of the service) been undertaken?  |  | | --- | | **Guidance Note:**  All activities provided by the service should be carefully considered when assessing child safeguarding risk.  Examples of risks that should be considered by Relevant Services:   * Risk of harm to a child by a member of staff/volunteer as a result of an action (e.g. hurt a child) or inaction (e.g. not report a concern). * Risk of harm to a child caused by a lack of supervision. * Risk of harm to a child by a visitor to the service. * Risk of harm to a child by another child in the service. * Risk of harm to a child on outings by a member of staff/volunteer/stranger/ peer. * Risk of harm through social media/internet use. * Risk of harm to a child through unauthorised photography.   \*This list is not intended to be exhaustive.  Further guidance and resources can be found at [**www.hse.ie/childrenfirst**](http://www.hse.ie/childrenfirst) | | A risk assessment (RA) was undertaken and there is documentary evidence to support this. | A RA was not undertaken. | A RA was undertaken but it did not consider “any potential for harm” to a child.  Gaps based on the nature of the service provided were identified.  It was determined that additional risks should have been considered in the context of undertaking the risk assessment. This was determined through consideration of information provided about the service and its activities. |
| * + 1. Does the risk assessment specify the procedures that **are in place** to manage any risks identified?  |  | | --- | | **Guidance Note:**  If a risk is identified in the risk assessment it should have a corresponding control/procedure/measure in place to mitigate that risk. | | Procedures are listed and in place to manage all risks identified. | Procedures to manage identified risks are not specified in the RA. | Procedures are listed or identified as being in place in relation to some, but not all, of the risks identified.  The procedures listed as controls to manage identified risks are not considered to be realistic, sufficient or relevant e.g. an ICT Policy cannot manage physical risk of harm to a child by a staff member. |

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| **Requirement**   * 1. A Child Safeguarding Statement (CSS) must be prepared in accordance with the following legislative requirements: * The CSS must describe the service being provided and the principles to be observed to safeguard children while availing of the service. * A Relevant Person must be appointed for the purposes of the CSS. * The CSS must include a written assessment of any potential for harm to a child while availing of the service. * The CSS must specify the procedures that are in place to manage any risk identified and the prescribed procedures required to be in place, as listed in Section 11(3) of the Children First Act 2015. |

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| Potential sources of evidence:   * Documentary evidence of CSS. * Evidence that the procedures/controls as listed against risks identified are in place. * Documentary evidence of the prescribed procedures for the activities listed in Section 11(3) of the Children First Act 2015 (TDO may request to view a procedure in full or a scan of cover and contents page may suffice). | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| * + 1. Has a Child Safeguarding Statement been prepared?  |  | | --- | | **Guidance Note:**  The CSS should be current, complete and correctly titled ‘Child Safeguarding Statement’.  The CSS should include the name of the Service Manager i.e. the person responsible for ensuring that the associated procedures are implemented.  Further guidance and resources can be found at [**www.hse.ie/childrenfirst**](http://www.hse.ie/childrenfirst) | | A written CSS was prepared and made available. | A written CSS was not made available. | A written CSS was prepared and made available but it is incomplete. |
| * + 1. Does the Child Safeguarding Statement specify:  1. The service being provided? 2. Clear principles and evidence of a commitment to safeguard children from harm (i.e. how they intend to safeguard children)? 3. The name of the Relevant Person appointed to be the point of contact in relation to the statement? 4. That a risk assessment has been completed to identify any potential for harm (as defined in the Act) to a child while availing of the service?  |  | | --- | | **Guidance Note:**  The CSS should specify and give a description of the service(s) that it applies to.  The Relevant Person should be clearly named on the CSS and their contact details included.  If a more detailed service specific risk assessment has been completed this should be clearly stated on the CSS and provided with the CSS on request. | | **‘Yes’ to all.** | **‘No’ to all.** | **‘No’ to one or more.** |
| * + 1. Are the prescribed   Procedures specified in Section 11(3) of the Act in placeand listed on the CSS?   1. The procedure(s) in place to manage any risk identified. 2. The procedure in respect of any member of staff who is the subject of any investigation (howsoever described) in respect of any act, omission or circumstance in respect of a child availing of the relevant service. 3. The procedure for the selection or recruitment of any person as a member of staff of the provider with regard to that person’s suitability to work with children. 4. The procedure for the provision of information and, where necessary, instruction and training, to members of staff of the provider in relation to the identification of the occurrence of harm. 5. The procedure for reporting to Tusla by the provider or member of staff of the provider (whether a mandated person or otherwise) in accordance with the Children First Act 2015 or Children First National Guidance for the Protection and Welfare of Children 2017. 6. The procedure for maintaining a list of the persons (if any) in the relevant service who are mandated persons. 7. The procedure for appointing a relevant person.  |  | | --- | | **Guidance Note:**  Procedures (f) and (g) must be written procedures.  Further guidance and resources can be found at [**www.hse.ie/childrenfirst**](http://www.hse.ie/childrenfirst) | | **‘Yes’ to all.** | **‘No’ to all.** | **‘No’ to one or more.** |
| **Requirement**   * 1. As soon as may be after the preparation of a Child Safeguarding Statement or any review of it, the provider shall display the Statement in a   prominent place where the relevant service concerned relates or is provided or both, as may be appropriate. | | | |
| Potential sources of evidence:   * A written description regarding how and where the CSS is displayed and/or photograph(s). | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| * + 1. Is the Child Safeguarding Statement appropriately displayed in a prominent place?  |  | | --- | | **Guidance Note:**  Only the current Child Safeguarding  Statement should be on display.  All outdated Child Safeguarding Statements (including ‘corporate’ versions) should be removed from display.  The CSS should not be displayed in a place where it is at risk of being covered over by other notices. | | The CSS is displayed prominently where the service is provided to the public and/or where the service relates (may apply to multiple buildings). | The CSS is not displayed prominently where the service relates or is provided or both. | The CSS is displayed but not prominently or from where the service operates.  The CSS is displayed prominently but is obscured by other notices. |
| **Requirement**   * 1. A provider of a relevant service shall furnish a copy of the Child Safeguarding Statement to members of staff and, on request, to parents, guardians,   members of the public and Tusla – Child and Family Agency. | | | |
| Potential sources of evidence:   * Signed declaration from appropriate manager that a copy of the CSS has been shared with all staff. * Confirmation from appropriate manager that a copy of the CSS is available on request. * Documentary evidence/sample of any letters/emails of communication sent to staff. * CSS that is published online. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **1.4.1** Has a copy of the Child Safeguarding Statement been furnished to all staff?   |  | | --- | | **Guidance Note:**  Consider how the CSS is shared with staff who do not have email addresses, students, volunteers, incoming staff, etc. | | A copy of the current CSS has been shared with all staff. | A copy of the current CSS has not been shared with all staff. | The current CSS has been shared with some, but not all staff members. |
| **1.4.2** Is a copy of the Child Safeguarding Statement available to parents/guardians, members of the public and Tusla on request? | A copy of the CSS is available on request.  The CSS is displayed in a prominent place (i.e. can be photographed).  A copy of the CSS is available online. | A copy of the CSS is not available on request.  The CSS is not displayed in a prominent place and it is not clear that a copy can be made available on request. | N/A. |
| **Requirement**   * 1. A provider of a relevant service shall review a Child Safeguarding Statement at intervals of not more than 24 months or as soon as practicable after   there has been a material change in any matter to which the statement refers. | | | |
| Potential sources of evidence:   * Documentary evidence of CSS/previous CSS (if applicable). * Signed declaration from appropriate manager that there has been no material change to which the statement refers since the CSS was developed. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **1.5.1** Is the Child Safeguarding  Statement reviewed at intervals of not more than 24 months or as soon as practicable after there has been a material change in any matter to which the statement refers? | The CSS is in date and there has been no material change in any matter to which the statement refers. | The CSS is out of date.  There is no date on the CSS.  The CSS was not reviewed following a material change to which the Statement refers. | The CSS is in date but a material change to which the Statement refers was not recognised as such and the Statement was not reviewed accordingly. |
| **2. Policy, Guidance and Standards** | | | |
| **Requirement (For HSE Services Only)**  **2.1 (A)** All HSE staff must ensure that they have read and understand their responsibilities as set out in the HSE Child Protection  and Welfare (CPW) Policy. | | | |
| Potential sources of evidence:   * Signed declaration from an appropriate manager stating that all staff have read the HSE Child Protection and Welfare Policy and that a copy of Appendix 3 (or equivalent) has been signed by all staff, and can be produced on request. * An appropriately completed ‘Implementation and Compliance Self-Audit Checklist for HSE and HSE Funded and Contracted Services’. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.1.1 (A)** Have all staff have signed a declaration stating that they have read, understood and will adhere to the HSE Child Protection and Welfare Policy?   |  | | --- | | **Guidance Note:**  An alternative mechanism to Appendix 3 can also suffice as evidence of compliance with this requirement | | Appendix 3 of the HSE CPW Policy is retained by line managers and is signed by all staff. | Appendix 3 is not retained by line managers. | Appendix 3 is retained by some line managers but not all.  Appendix 3 is retained by line managers for some but not all staff. |
| **Requirement (For Funded Services Only)**  **2.1 (B)** HSE funded and contracted services should have a CPW Policy that is consistent with the core components of the HSE  CPW Policy. | | | |
| Potential sources of evidence:   * Documentary evidence of a service’s local CPW Policy - if different to, or, an adapted version of the HSE CPW Policy. * Scan of CPW Policy to check that it has key sections covered as per HSE CPW Policy (this does not include a quality assurance review of the document). * An appropriately completed ‘Implementation and Compliance Self-Audit Checklist for HSE and HSE Funded and Contracted Services’. * Document control system in place e.g. Q-Pulse. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.1.1 (B)** Is there a CPW Policy in place that is consistent with the core components of the HSE CPW Policy?   |  | | --- | | **Guidance notes:** | | The main sections of the HSE CPW Policy should be considered ‘core components’ i.e. Roles and Responsibilities, Reporting Procedure, Managing Child Protection and Welfare Records, Sharing Information, Implementation and Review. | | There is a CPW Policy in place that is consistent with the core components of the HSE CPW Policy. | There is no CPW Policy in place. | There is a CPW Policy in place but it is not consistent with the core components of the HSE CPW Policy. |
| **2.1.2 (B)** Has a copy of the CPW Policy been made available to all staff?   |  | | --- | | **Guidance Note:**  Consider how the CPW Policy is made available to staff without email addresses, students, volunteers, incoming staff, etc. | | A copy of the CPW Policy has been made available to all staff. | A copy of the CPW Policy has not been made available to staff. | A copy of the CPW Policy has been made available to some but not all staff. |
| **Requirement**  **2.2** All HSE staff, volunteers, students and staff of HSE funded organisations are required to complete the mandatory HSE eLearning module ‘An  Introduction to Children First’, as required (currently every 3 years). | | | |
| Potential sources of evidence:   * A signed declaration from a service manager stating that (i) all staff have completed ‘An Introduction to Children First’ (ii) certificates of completion are retained on file (iii) processes are in place to ensure that refresher training is undertaken. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.2.1** Have staff completed the mandatory HSE training module ‘An Introduction to Children First’?   |  | | --- | | **Guidance Note:**  Alternative mechanisms to demonstrate compliance with this requirement will also be considered. | | All staff have completed the mandatory HSE training module ‘An Introduction to Children First’.  Certificates of completion for all staff are retained on file by line management. | The mandatory HSE training module ‘An Introduction to Children First’ has not been completed by staff. | The mandatory HSE training module ‘An Introduction to Children First’ has been completed by some, but not all staff.  There are procedures in place to ensure that mandatory Children First training is completed but they are not fully implemented.  Certificates are not retained by line management with sufficient consistency to provide assurance e.g. certificates are retained by line management for some, but not all staff. |
| **2.2.2** Is refresher training completed every 3 years?   |  | | --- | | **Guidance Note:**  Alternative mechanisms to demonstrate compliance with this requirement will also be considered. | | There is a process in place to ensure that mandatory refresher training is completed as required.  Certificates for all staff are retained on file by line management and all certificates are in date. | Staff have not completed refresher training as required.  There are no assurance mechanisms or processes in place to ensure that mandatory refresher training is completed. | There are processes in place to ensure that staff complete refresher training but they are not fully implemented.  Staff are reminded to complete refresher training and asked to submit certificates of completion but checks are not carried out by line management.  Refresher training was completed by some, but not all staff. |
| **Requirement**  **2.3** Child protection and welfare records must be appropriately filed and securely stored in a manner which upholds the confidential nature of the  information. | | | |
| Potential sources of evidence:   * Discussion with service manager/other relevant member(s) of staff. * Documentary evidence of any local SOP that is consistent with record-keeping practice as set out in the HSE CPW Policy. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.3.1** Are child protection and welfare records stored securely in a place which upholds the confidential nature of the information?   |  | | --- | | **Guidance Note:**  It is best practice to have clear **written** procedures in place for the management of child protection and welfare records.  Further guidance and resources can be found at [**www.hse.ie/childrenfirst**](http://www.hse.ie/childrenfirst)**.** | | CPW records appear to be stored securely and appropriately.  There is a procedure in place to ensure the appropriate and secure storage of CPW records. | CPW records are not stored securely and appropriately in line with the HSE CPW Policy.  There is no procedure in place to ensure that CPW records are stored appropriately and securely.  CPW records are not stored in a manner which upholds their confidential nature. | CPW records appear to be stored securely and appropriately but there is no clear procedure in place to evidence how this is implemented. |
| **2.3.2** If child protection and welfare records are stored in a separate file to the ‘master file’ is this clearly indicated and are staff made aware of how they can access them?   |  | | --- | | **Guidance Note:**  Child protection and welfare records **do not have to be** stored separately to a main file. Sometimes it is necessary and appropriate in light of differing retention periods or to uphold the confidential nature of the information. | | It is clearly indicated on the ‘master file’ that a separate file exists and where it can be accessed. | CPW records are stored separately but there is no indication on the master file that a separate CPW record exists. | It is clearly indicated on the ‘master file’ that a separate file exists but it is not clear how it can be accessed.  There is no procedure in place on how the separation of files is to be managed. |
| **2.3.3** Is access to child protection and welfare records on a need to know basis, in the best interests of children and young people? | There is evidence that the service has considered CPW record management and that access to CPW records is proportionate and appropriate to the role of individual staff members.  Staff members can access CPW records if/when they need to. | There is no evidence to suggest that access to CPW records has been considered to ensure that access is proportionate and appropriate to the role of individual staff members. | Staff do not always have access to CPW records if/when they need to e.g. in order to identify if previous concerns have been noted and that a pattern may be presenting that is consistent with abuse or neglect. |
| **Requirement**  **2.4** All organisations should have procedures in place for reporting child protection and welfare concerns. Procedures should be made available and  followed by all staff members, students and volunteers. | | | |
| Potential sources of evidence:   * Documentary evidence of a Child Protection & Welfare Reporting Procedure (HSE national or locally developed). * A signed declaration from an appropriate manager stating that all staff have completed ‘An Introduction to Children First’. * Signed declaration from an appropriate manager stating that all staff have read the HSE Child Protection and Welfare Policy and that a copy of Appendix 3 (or equivalent) has been signed by all staff, and can be produced on request. * Discussion with service managers/other relevant staff member(s). * An appropriately completed ‘Implementation and Compliance Self-Audit Checklist for HSE and HSE Funded and Contracted Services’. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.4.1** Is there a Child Protection and Welfare Reporting Procedure in place?  [Note: for HSE services the HSE CPW Reporting Procedure applies.]   |  | | --- | | **Guidance Note:**  Further guidance and resources can be found at [**www.hse.ie/childrenfirst**](http://www.hse.ie/childrenfirst)**.** | | There is a CPW Reporting Procedure in place that is fully implemented and being adhered to. | There is no reporting procedure in place.  There is a reporting procedure in place but it is not being adhered to. | A reporting procedure which differs to the HSE reporting procedure is in place but it is not consistent with the core components of the HSE CPW Policy and/or it is not considered to be sufficiently robust to safeguard children.  A CPW Reporting Procedure is in place but it is not implementable because staff do not have consistent/sufficient access to the Tusla Portal. |
| **2.4.2** Are staff members aware of the Child Protection and Welfare Reporting Procedure? | Staff have been made aware of and are knowledgeable about the CPW Reporting Procedure. | Staff were not made aware of the CPW Reporting procedure and they had no knowledge or understanding of it. | Staff were made aware of the CPW Reporting Procedure but they have no knowledge or understanding of it.  A CPW reporting procedure is in place but it is inconsistently followed e.g. line managers are not always consulted by staff, decisions not to report are not always jointly agreed. |

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| **Requirement**  **2.5** The HSE Children First Implementation and Compliance Self-Audit Checklist must be completed annually and made available on request. | | | |
| **Sources of evidence:**   * Documentary evidence of an appropriately completed ‘Implementation and Compliance Self-Audit Checklist for HSE and HSE Funded and Contracted Services’ for current year (dated within 12 months) and/or previous year. | | | |
| Line of Enquiry | **Evidence of Compliance** | **No evidence of compliance** | **If no or only partial evidence of compliance, provide details.** |
| **2.5.1** Are Implementation and Compliance Self-Audit Checklists completed and retained as required?   |  | | --- | | **Guidance notes:**  The most up to date version of the [Implementation and Compliance Self-Audit Checklist for HSE and HSE Funded and Contracted Services](https://www.hse.ie/eng/services/list/2/primarycare/childrenfirst/compliance-self-audit-checklist/children-first-compliance-self-audit-checklist.html) available from [www.hse.ie/childrenfirst](http://www.hse.ie/childrenfirst) should be downloaded and completed annually. | | Self-Audit Checklists are completed as required and can be produced on request. | Self-Audit Checklists are not being completed as required. | Self-Audit checklists are completed as required but they were not made available to the HSE on request.  Self-Audit checklists are not completed in full. |