



## **APPENDIX B**

Peterborough City Council  
Strategy, Commissioning and Prevention  
Children's Services

### **16+ Accommodation and Support Framework Contract**

#### 'Other Arrangements' and 'Suitable Accommodation'

##### Summary

This document sets out the framework and requirements to be taken into consideration when placing children looked after and care leavers aged 16 & 17 (and in certain circumstances care leavers aged 18 and over, i.e. where Children's Services is commissioning and paying for the accommodation) in accommodation and/or placements that are not registered under the Care Standards Act 2000 and are therefore not inspected by Ofsted. The Care Planning process for the individual child must conclude that the child's needs are best met by a placement in 'Other Arrangements', that is, they are deemed sufficiently able and competent to benefit from a semi-independent type of placement due to their abilities and needs.

<b>Section</b>	<b>Contents</b>	<b>Page</b>
One	Aims, Context and Purpose of the Document	2
Two	Sole Occupancy and Shared Occupancy - Landlord and Semi-independent Provider Requirements	5
Three	Sole Occupancy and Shared Occupancy – Semi-independent Health and Safety Property Requirements	8
Four	Sole Occupancy and Shared Occupancy – Individual Arrangements - Summary Checklist	11
Appendix One	Sole Occupancy and Shared Occupancy – Semi-independent (Health and Safety) Property Inspection Checklist	13
Appendix Two	Service Standards and Expectations of Semi-Independent – Supported Accommodation Providers (Contract Requirements)	17
Appendix Three	Service Standards and Expectations of Semi-Independent – Supported Accommodation Providers (Inspection Checklist)	30
Appendix Four	Social Worker and Leaving Care Personal Adviser – Visiting Checklist	37
Appendix Five	Supported Accommodation - Children’s Home - Department for Education - Guidance	39
Appendix Six	Roles and Responsibilities Table	41
Appendix Seven	Events and Notification Procedure	44
Appendix Eight	Provider Policy Document Requirements - Inspections	60
Appendix Nine	Young Person’s Case File Inspection Checklist	62
Appendix Ten	Recruitment and Vetting & Staff File Inspection Checklist	63

## Section One

### Aims, Context and Purpose of the Document

The aim of this document is to provide guidance relating to placing children looked after and care leavers age 16 & 17 (and in certain circumstances care leavers aged 18 and older) in placements and accommodation which is not regulated under the Care Standards Act 2000 and as a result is not inspected by Ofsted. These types of placements are deemed ‘Other Arrangements’ within the Care Planning, Placement and Case Review Regulations and Guidance 2010. The related Planning Transition to Adulthood for Care Leavers Guidance, including the Care Leavers (England) Regulations 2010 sets out parallel requirements. A system of checks is required to ensure the placement or accommodation can be deemed ‘Suitable Accommodation’.

The Care Planning, Placement and Case Review Regulations and Guidance 2010 highlights that in certain circumstances and following the assessment of the child’s needs to inform his or her care or pathway plan, the assessment may conclude that for some children, these needs will be best met by a placement in ‘Other Arrangements’<sup>1</sup>.

As these placements are not regulated under the Care Standards Act 2000, or inspected by Ofsted the ‘Responsible Authority’ will need to take every step to establish that the child’s needs are matched to the services provided by the placement and that the provider and placement are safe and suitable.

In order to make a placement in ‘Other Arrangements’ the responsible authority must ensure that:

“In every case, before making the placement the local authority must establish that the accommodation is suitable.

Suitable accommodation is accommodation:

- which, so far as reasonably practicable, is suitable for the child in light of his/her needs, including his/her health needs;
- in respect of which the responsible authority has satisfied itself as to the character and suitability of the landlord or other provider;
- which complies with health and safety requirements related to rented accommodation; and
- in respect of which the responsible authority has, so far as reasonably practicable, taken into account the child’s:
  - wishes and feelings; and
  - education, training or employment needs.”

<http://media.education.gov.uk/assets/files/pdf/t/the%20children%20act%201989%20guidance%20and%20regulations%20vol%202%20-care%20planning%20placement%20and%20case%20review.pdf>

---

<sup>1</sup> Regulation 27 & 42 – Care Planning, Placement and Case Review Regulations and Guidance 2010

And

<http://media.education.gov.uk/assets/files/pdf/v/volume%203%20planning%20transition%20to%20adulthood%20for%20care%20leavers.pdf>

The 2010 Guidance sets out the following areas that must be addressed when assessing 'Suitable Accommodation' or a placement for an individual young person:

- 1 What are the assessed needs of the young person and how will the placement meet these? i.e:
  - access to education, training, employment opportunities;
  - access to family, support networks, health needs and move-on opportunities;
  - location and accessibility – risk and safeguarding both to and from others;
- 2 The young person's views and wishes and feelings regarding the accommodation;
- 3 The character and suitability of the landlord/provider (and other household/family members or provider staff);
- 4 The risk, safeguarding and suitability of placing the young person with the existing group of resident young people;
- 5 The suitability of the accommodation – health and safety.

Prior to a move to 'Suitable Accommodation' taking place the above issues should be addressed and wherever possible the young person should have viewed the placement/accommodation.

As the move will represent a significant change to the young person's care/pathway plan a statutory review, chaired by the young person's Independent Reviewing Officer should take place prior to a decision being made to move to 'Suitable Accommodation'. The statutory review should scrutinise how the placement/accommodation will meet the young person's assessed need and establish that a care/pathway plan is in place to support the move.

In addition, regulation 12(3)(c) requires that, where a young person is placed in 'Other Arrangements', then the local authority must make a placement plan involving the young person and the person responsible for supporting him/her in the accommodation. This should be the person who will have the most day to day contact with the young person, for example their 'key worker', support worker or landlord/landlady. Any support plan setting out how the supported accommodation/provider service will support the young person should be integral to the placement plan and avoid duplication.

As well as the requirement to check that the placement/accommodation meets the individual needs of the young person and that their views are sought and the provider landlord is suitable; the 2010 Guidance also sets out a number of key headings within which to explore the suitability of an individual placement or accommodation arrangement.

- Facilities and services provided.
- State of repair.
- Safety.
- Location.
- Support.
- Tenancy status.
- The financial commitments involved for the young person and their affordability.

“The primary issue to be addressed in making a placement in ‘other arrangements’, just as in any other placement setting, will be how making this placement meets the assessed needs of the individual child.”

## Section Two

<b>Sole Occupancy and Shared Occupancy Landlord and Semi-independent Provider Suitability Requirements</b>
--

The responsible authority (Peterborough City Council) is required to satisfy itself as to the character and suitability of the landlord, or provider, or provider organisation. The following factors are provided as guidance and should not be used as a definitive or exhaustive list, and represent a minimum standard.

Where the placement or accommodation is being commissioned from a small scale landlord with one or two properties and the property is located in Peterborough the responsible authority (Peterborough City Council) will need to undertake:

1. A Local Authority (LA) check;
2. A Police National Computer (PNC) check;
3. The landlord should also be asked if they have ever had a Disclosure and Barring Service check (DBS), previously called a Criminal Records Bureau (CRB) check, undertaken for any purpose, and if they have, the DBS/CRB number should be checked;
4. If there are any concerns regarding the suitability of the landlord an enhanced DBS check should be undertaken.

Depending on the outcome of the above checks (1, 2 and 3) the responsible authority may also need to undertake an enhanced DBS check (as in 4) and an individual risk assessment of the landlord.

Where the placement or accommodation is being commissioned from a small scale landlord with one or two properties and the property is located outside of Peterborough, the local authority should undertake:

1. An enhanced DBS check;
2. Liaise with the local authority (both the district/borough and county council in two tier authorities) and police authority where the accommodation is located, to request information about the suitability of the landlord and to request a local authority and police national computer check.

The lowest level of checking, (safeguarding) i.e. a local authority check and a police national computer check is only appropriate where the accommodation is in Peterborough, the landlord is an individual landlord and has no access to the property (except the statutory requirements regarding inspecting the property with advanced notice and in such circumstances they will be accompanied by a representative of the local authority, i.e. a social worker, personal adviser or brokerage worker).

The contract between Peterborough City Council and the landlord should set out the name and contact details of the responsible authority representative who should be contacted should the landlord need to access the property.

Where the accommodation/placement is provided by a landlord or organisation that also provides support, or where the landlord also lives in, or in close proximity to the property all checks should be completed (regardless of being inside or

outside of Peterborough). Also see section below – family type setting/supported lodgings.

Additionally, the responsible authority will need to assess anyone who may have access to the property, i.e. staff and individuals undertaking repairs, providing support or services etc, and/or, have a policy where-by staff undertaking repairs etc are supervised and accompanied by an approved person.

To ensure risks are limited regarding security the responsible authority should undertake an assessment with the landlord/provider to ascertain who previously lived in the accommodation/placement and to decide if it is appropriate to change the locks on the property and/or ensure all keys of previous tenants are returned to the landlord/provider. Where this is not possible a risk assessment will need to be undertaken and signed-off by the responsible authority nominated officer.

In circumstances where a young person is placed in a family type setting, such as supported lodgings the responsible authority will need to check all members of the household and regular visitors. Additionally, where young people are placed in accommodation that is provided as part of their employment or training, the responsible authority will need to assess the suitability of the employer/landlord and have a contingency accommodation plan in case the young person's employment or training ends etc.

Checks will also need to be undertaken regarding the landlords/providers financial viability. This is important to ensure that the arrangement can continue to meet the young persons needs and does not end prematurely due to any financial difficulties of the landlord/provider. Financial checks on large scale landlords and providers are undertaken as part of the Peterborough's contract arrangements and can be undertaken on landlords/providers when placing young people outside of the Peterborough Framework Agreement. Checking the financial viability of small scale landlords can be more difficult; in these situations reference should be made to how fostering financial viability is undertaken, and where possible the mortgage statement and rent account should be checked to ensure that there are no arrears. Where this is not possible, a financial viability risk assessment should be undertaken.

Checks should always be undertaken to ascertain who has access to the placement/accommodation and to assess whether all people who have access are deemed suitable. If this is not possible, a risk assessment should be undertaken with specific consideration given to any risks that may result from young people aged 18 and over having access to children looked after and care leavers aged 16 & 17.

Any supported accommodation (private provider and registered provider) that provides accommodation to children looked after and care leavers aged 16 & 17 and vulnerable young people aged 16 to 24 must have a robust risk management and referral matching process to ensure that all 16 & 17 year olds are safeguarded.

Where young people are placed with a semi-independent accommodation provider the responsible authority will generally need to approve the organisation via a corporate procurement procedure, and/or a framework agreement and/or a preferred provider list and via a system of inspection. See Appendix Two 'Service

Standards and Expectations of Semi-Independent – Supported Accommodation Providers (Contract Requirements) for the requirements of the landlord/provider when placing 16 & 17 year old young people in placements and accommodation provided by semi-independent accommodation provider organisations.

In all circumstances the responsible authority will need to assess the suitability of:

- the provider/landlord;
- those who are providing support;
- those who have access to the property and the young person.

When approving a landlord, provider or accommodation outside of the framework agreement a broad based risk assessment should be undertaken and any anomalies or specific issues highlighted. The risk assessment should be approved by the Children's Services Commissioning Section and signed off by the responsible authority nominated officer.



## Section Three

### Sole Occupancy and Shared Occupancy Semi-independent Health and Safety Property Requirements

The following information sets out the Health and Safety requirements relating to: A) Individual accommodation – sole occupancy flats;

- B) Shared accommodation – flats and houses shared by two young people; C) Shared semi-independent supported accommodation (including hostels and supported accommodation/Houses in Multiple Occupation (HMO's), both private and registered providers) provided for children looked after and care leavers aged 16 & 17 (and in certain circumstances aged 18 and older) that are the responsibility of Peterborough City Council.

All properties being used to provide placements for 3 or more young people should be inspected by the local Private Sector Housing Service (previously, and sometimes still known as the Environmental Health Service), the local Fire and Rescue Service and any HMO requirements or recommendations complied with (including being a licensed HMO).

- A House in Multiple Occupation is any property that provides accommodation for 3 unrelated individuals who share some facilities.
  - A licensed House in Multiple Occupation is any property that provides accommodation for 5 unrelated individuals who share some facilities and/or has 3 or more storey's.
1. All properties being used to provide placements for 2 or more young people (shared accommodation) via an individual landlord or semi-independent private provider organisation or registered provider should have (as a minimum):
- A hardwired fire alarm system;
  - Smoke detectors in bedrooms and communal areas (hardwired);
  - Heat detectors in all kitchen areas;
  - A fire blanket in all kitchen areas;
  - Fire exit signs and instructions;
  - Fire extinguishers (and/or a detailed fire risk management plan) [Advice on fire extinguishers is complex, if fire extinguishers are provided these must be maintained and checked yearly and be used by staff; client evacuation takes priority over fighting a fire];
  - A carbon monoxide detector (alarm type);
  - Fire doors fitted with relevant smoke seals and self closing devices;
  - Fire retardant furnishings;
  - An emergency lighting system;
  - Yearly Portable Appliance Testing (PAT) of all electrical equipment belonging to the provider;
  - A valid Gas (Landlords Gas Safety Certificate [Gas Safe]) and Electrical Certificate (National Inspection Council for Electrical Installation Contracting [NICEIC]) with any recommendations and requirements completed (Gas Safe Certificate valid for 1 year, NICEIC Electrical Certificate valid for 5 years);

- Laminated information sheet setting out emergency exit/evacuation routes and procedures and emergency health services, i.e. nearest Accident and Emergency unit, NHS Drop-in centre including telephone numbers;
- Laminated information sheet with emergency contact numbers of the landlord/semi-independent provider, gas provider, water provider;
- An accident log;
- A visitor's book;
- Depending on the type of building - fire escapes, all fire escape routes kept clear and/or special escape procedures;
- Where residents are not able to self-evacuate procedures must be in place for those who need assistance with evacuation;
- A daily/weekly observation and general check of the building, i.e. windows, locks, alarms, fire equipment, plugs and sockets, electrical equipment, external areas;
- Appropriate main door, individual room and window locks;
- CCTV and/or a system for registering and checking who is in the building in the event of a fire or the need to evacuate the property (depending on level of needs of young people and numbers);
- Information about which members of staff are trained first aiders and their shift patterns (where possible a trained first aider should be available on each shift);
- Depending on risk and position, windows may require limited opening or window bars i.e. due to security or risk of falls (first floor and above and where a window has a sill height of one metre or less);
- Depending on risk and position some glass panels may need to contain safety glass;
- All communal areas are kept free of obstructions and hazards;
- All shared garden and outside areas are kept in good and safe order.

In situations where 2 young people are sharing, a number of the above requirements may not be practical, in these situations a risk assessment should be undertaken and should set out how any particular requirements will be implemented or addressed.

2. All sole occupancy accommodation provided by a landlord or semi-independent accommodation provider (private provider or registered provider) should comply with the requirements of rented accommodation and landlord standards (as a minimum) and should have:

- Smoke detectors (hardwired);
- Heat detector – kitchen;
- A fire blanket in all kitchen areas;
- Fire extinguishers (and/or a detailed fire risk management plan) [Advice on fire extinguishers is complex, if fire extinguishers are provided these must be maintained and checked yearly and be used by staff; client evacuation takes priority over fighting a fire];
- A carbon monoxide detector (alarm type);
- Main entry door fitted with relevant smoke seals;
- Fire retardant furnishings;
- All electrical equipment belonging to the landlord should be PAT tested every year or at the renewal of the tenancy:

- A valid Gas (Landlords Gas Safety Certificate [Gas Safe]) and Electrical Certificate (National Inspection Council for Electrical Installation Contracting [NICEIC]) with any recommendations and requirements completed (Gas Safe Certificate valid for 1 year, NICEIC Electrical Certificate valid for 5 years);
  - Laminated information sheet setting out emergency exit/evacuation routes and procedures and emergency health services, i.e. nearest Accident and Emergency unit, NHS Drop-in centre including telephone numbers;
  - Laminated information sheet with emergency contact numbers of the landlord/semi-independent provider, gas provider, water provider;
  - Depending on the type of building - fire escapes, all fire escape routes kept clear and/or special escape procedures;
  - A daily/weekly observation and general check of the building, i.e. windows, locks, alarms, fire equipment, plugs and sockets, electrical equipment, external areas (undertaken by the provider organisation or personal adviser);
  - Appropriate locks - main door (see fire door section), individual rooms and windows;
  - Depending on risk and position windows may require limited opening or window bars i.e. due to security or risk of falls (first floor and above and where a window has a sill height of one metre or less);
  - Depending on risk and position some glass panels may need to contain safety glass;
  - All communal areas are kept free of obstructions and hazards;
    - All shared garden and outside areas are kept in good and safe order.
3. All mobile homes require a license and to be sited on an approved and licensed site. The license will highlight the planning status and the fire safety requirements and the provision of essential and required amenities.
  4. All accommodation deemed 'holiday accommodation' should be referred to the local Private Sector Housing Service (previously, and sometimes still known as the Environmental Health Service) to check if there are any limits to the amount of time the accommodation can be occupied in any given year.
  5. All damage to properties must be rectified as soon as possible in order to avoid any risks to residence, i.e. damaged windows, doors etc must be fixed immediately rather than wait for insurance claims to be completed.
  6. Any placement or accommodation deviating from the above standards must only be approved following a detailed risk assessment and authorisation from the local authority nominated officer.

## Section Four

<p>Sole Occupancy and Shared Occupancy Individual Arrangement - Summary Checklist</p>
---

The following headings are taken from the Care Planning, Placement and Case Review Regulations and Guidance 2010 and provide a framework to assist with checking the suitability of elements of the 'Suitable Accommodation' framework.

1. Facilities and services provided.
2. State of repair.
3. Safety.
4. Location.
5. Support.
6. Tenancy status.
7. The financial commitments involved for the young person and their affordability.

### Facilities, Services, State of Repair/Environment

- What services and facilities are provided within the placement/ accommodation?
- Is the overall condition and immediate environment suitable, safe and secure?
- Does the placement/accommodation create any risks for the young person?
- If the placement/accommodation is shared, does this create risks for the young person or those he/she is placed with?
- Is there a policy of matching the level of need of all of the young people in the shared accommodation (risk assessment)?
- If the shared accommodation provides placements for young people aged 16 & 17 and young people aged 18 plus how are the associated risks managed?
- If the shared accommodation provides placements for several local authorities how are the associated risks managed and the levels of need matched?

### Safety

- Does the property comply with all the health and safety requirements applying to:
  - o Landlords;
  - o Houses in Multiple Occupancy (licensed and non-licensed);
  - o The requirements of the individual responsible authority;
  - o Appropriate insurance levels.

### Location

- Does the accommodation enable the young person to access education, training and employment opportunities?
- Does the accommodation have adequate transport links?

- Does the accommodation enable the young person to have reasonable access to people in their support network, including family, health, leisure and general amenities?
- Is the accommodation in a safe and secure area and does it have good security?

#### Support

- What level of support is provided with the accommodation/property?
- What level of competence, skill and training has the support provider/worker achieved?
- How much support will be provided and what are the arrangements for the young person to access the support?

#### Tenancy Status

- What is the tenancy or license status of the young person?
- Can the young person continue to occupy the placement/accommodation after their 18<sup>th</sup> birthday?
- Does the young person understand their rights and responsibilities associated with living in the placement/accommodation?
- What are the move-on arrangements for the young person, particularly at the age of 18?

#### Financial Commitments

- Is the placement/accommodation affordable on the young person's current level of income/financial support?
- Does the young person have to make any financial contributions? i.e. utilities charges, service charges etc
- Does the young person have a sufficient financial income to cover travel costs, utilities, food etc?
- Can the young person remain in the placement/accommodation after their 18<sup>th</sup> birthday? If so, can the rent be covered by the relevant Local Housing Allowance rate?
- Does the young person understand the financial arrangements associated with the placement/accommodation?

APPENDIX ONE

Sole Occupancy and Shared Occupancy – Semi- independent (Health and Safety)  
Property Inspection Checklist

The aim of this checklist is to assist staff undertaking inspections of semi- independent accommodation (Landlords, Private Providers and Registered Providers/Registered Social Landlords/Housing Associations). The requirements set out below should be used to assess:

- 1. Sole occupancy;
- 2. Shared two person and;
- 3. Shared multiple occupancy (three or more sharing) properties. Not all aspects of the checklist will apply to types 1, 2 or 3.

Wherever possible, inspections should involve a member of the local Private Sector Housing Service/Environmental Health Service/Fire and Rescue Service.

Alarms, Fire and First Aid

Does the property have a carbon monoxide detector.....  
Number and location of.....

Does the property have any fire extinguishers (and/or a detailed fire risk management plan) [Advice on fire extinguishers is complex, if fire extinguishers are provided these must be maintained and checked yearly and be used by staff; client evacuation takes priority over fighting a fire] – Check with Local Fire and Rescue Service.

Number, type and location of.....

Date extinguishers last inspected and/or date of fire risk management plan.....

Does the property have a fire alarm system.....

How frequently is the alarm system tested.....

How frequently is the 'break glass' system tested.....

How frequently is the system serviced.....

Is there a record of servicing and testing.....

How much of the property is covered by the fire alarm system, all rooms, communal areas, roof voids etc.....

Does the property have smoke and heat detectors.....

Are these mains wired interlinked detectors or battery type.....

Number and location of.....

Does the property have a carbon monoxide detector.....

Number and location of.....

Does the property have any fire extinguishers (and a detailed fire risk management plan) [Advice on fire extinguishers is complex, if fire extinguishers are provided these must be maintained and checked yearly and be used by staff; client evacuation takes priority over fighting a fire] – Check with Local Fire and Rescue Service.

Number, type and location of.....

Date extinguishers last inspected and/or date of fire risk management plan.....

Does the property have any fire blankets.....

Number, type and location of.....

Does the property have fire exits and clear fire exit instructions and signs.....

Number, location and comments.....

Are there 1) any fire escapes, 2) are all fire escape routes kept clear and 3) are there any special escape procedures.....

Number, location and comments.....

Are all doors approved fire doors? Do they have approved fire seals? What fire/smoke retardant timescale does each door have.....

Number, location and comments.....

Are all residents able to self-evacuate.....

If not, are there procedures for those needing assistance with evacuation.....

What system is in place to know who is present in the building in the event of a fire or need to evacuate the property.....

Does the property have emergency lighting.....

If so how frequently is it tested and serviced.....

How many first aiders are there working at the property.....

Does each shift have a trained first aider.....

How many first aid kits are there at the property.....

How often are the first aid kits checked and refilled.....

Is there clear information about 1) emergency health procedures, i.e. nearest Accident and Emergency unit, 2) NHS Drop-in centre including telephone numbers.....

Number, location and comments.....

Does the organisation/property have an accident book.....

Location and comments.....

General Safety Issues

What security system does the property have, i.e. locks, restricted areas, CCTV.....

Location and comments.....

What window security is in place.....

Do any windows have limited opening? i.e. due to security or risk of falls [first floor and above and where a window has a sill height of one metre or less].....

Location and comments.....

What type of glass is used in different areas of the building.....

Location and comments.....

Procedures for visitors and previous residents.....

What is the frequency of a general check and observation of the building, i.e. windows, locks, alarms, fire equipment, plugs and sockets, electrical equipment, external areas.....

Comments.....

Does the property have a sanitary/hazards waste collection/removal system.....

Comments.....

#### Gas and Electricity

Does the property have a current and valid National Inspection Council for;

Electrical Installation Contracting (NICEIC) electrical certificate.....

Have all recommendations and requirements been completed.....

Does the property have a current and valid Gas Safe certificate.....

Does the organisation Portable Appliance Test all electrical equipment in the property belonging to the organisation on a yearly basis.....

Comments.....

Has the property been inspected by the local private sector housing service, if so when and what were their recommendations.....

Has the property been inspected by any independent inspection organisation, if so when and what were their recommendations.....

#### Water

Does the organisation/property undertake Legionnaire disease testing.....

Comments.....

Does the organisation test the minimum and maximum water temperature.....

Comments.....



Buildings, Contents and Liability Insurance

What level of insurance does the landlord/provider hold:

Buildings Insurance.....

Contents Insurance.....

Employer Insurance.....

Public Liability Insurance.....

Professional Indemnity Insurance.....

## APPENDIX TWO

### Service Standards and Expectations of Semi- Independent – Supported Accommodation Providers (Contract Requirements)

The following section constitutes:

1. Contract Expectations and Standards;
2. Inspection Standards.

For:

- A. Supported Accommodation with minimal to 24 hour on-site support and staff cover;
- B. Supported Accommodation – independent flats with floating/outreach support.

#### Introduction

The standards below should be applied to all private provider organisations and registered providers (Landlords, Private Providers and Registered Providers/Registered Social Landlords/Housing Associations) that provide placements/accommodation with, or without support to children looked after and care leavers who are the responsibility of Peterborough City Council. The application of all standards will need to be considered against each private provider organisation or registered provider.

#### Managing Risk and Young People with Different Levels of Need

Each semi-independent organisation that provide shared accommodation for 2 or more young people should have an assessment, risk management and client matching policy and framework to ensure young people do not represent a risk to each other and that the provider organisation can ensure that placing young people together does not increase their individual vulnerability. This is particularly important where a provider places young people from different responsible authorities and where registered providers support young people from age 16 to 24.

Private providers intending to place a young person from another local authority alongside a Peterborough City Council young person must notify the Commissioning Team of their intention to do so and how any risk issues will be managed.

#### Client Information

Any client information provided by Peterborough City Council should be treated in the strictest confidence. All information and files on clients should be held in a locked and secure setting. In situations where young people are directly involved in contributing to their own files and documentation, for example as part of a planned empowerment or preparation for independence programme, clear boundaries and confidentiality must be maintained. Computers containing client and Peterborough City Council information must always be password protected (minimum 8 characters) and have security, anti-virus and firewall software.

## Referrals and Placements

All referrals will be sent to Supported Accommodation Providers using password protected documents and encrypted e-mails. Passwords will be given to providers by telephone.

If a young person is not offered a placement, or does not move to the placement, referral information must be returned immediately to Peterborough City Council. When a client leaves a placement, only information for statistical purposes should be retained. All client information and files must be returned to the relevant social work team which holds case responsibility for the young person.

Peterborough City Council will ensure Providers have an up to date and comprehensive referral and risk assessment. The majority of Semi-Independent Supported Accommodation is deemed 'Other Arrangements' under the Care Planning, Placement and Case Review Guidance – Volume 2, the Children Act 1989. The Guidance highlights that where practical, young people should view a new placement or accommodation prior to moving, the young person's wishes and feelings should be taken into account and the young person's education, training and employment needs should be considered when assessing the placement/accommodation's suitability and location.

Prior to the move, a statutory review, chaired by the young person's Independent Reviewing Officer should take place and the Placement Plan and Pathway Plan (which includes the Care Plan) should be reviewed and amended accordingly and a written record of the review should be placed on the young person's case file.

Providers should familiarise themselves with the Care Planning, Placement and Case Review Guidance – Volume 2, the Children Act 1989, particularly page 60 to 116 and Planning Transition to Adulthood for Care Leavers Guidance – Volume 3, the Children Act 1989.

Once a young person has moved to a new placement, the Care Plan that includes the Pathway Plans should be reviewed within 28 days of the move, then after a further 3 months and then after a further 6 months (or as required). The Placement Plan (Placement Agreement) should also be reviewed and amended as required.

As part of the placement planning process a Placement Plan (Placement Agreement) is required and should be developed.

## Client Reports

Accommodation Providers who also provide support (onsite or visiting/floating support) are required to supply weekly, fortnightly or monthly reports setting out the work that has been undertaken with the young person and their progress and achievements. The frequency of the report is dependent on the number of support hours being provided to the young person.

1 to 5 hours of support per week - Monthly Reports

5.25 hours to 10 hours of support per week – Fortnightly Reports

10.25 hours and above of support per week – Weekly Reports

The format of the report is set out below:

1. Practical Skills and Preparation for Independence Tasks;

2. Relationship Issues;
3. Health Issues;
4. Financial and Benefit Issues;
5. Education, Training and Employment;
6. Engagement;
7. Key Achievements and Tasks Completed;
8. Future Goals and Tasks for next Report.

The reports should be sent to the social worker/personal adviser for the individual young person.

#### Property - Health and Safety

Supported Accommodation Providers should ensure all properties comply with the Peterborough City Council Health and Safety requirements. See Section Three and Appendix One.

#### Supported Accommodation Provider Insurance Cover:

Supported Accommodation Providers should hold the following levels of insurance cover:

Professional Indemnity Insurance	£5 million;
Employers Liability Insurance	£10 million;
Public Liability Insurance	£5 million.

Supported Accommodation Providers should have appropriate damage and contents insurance cover in order to make good all damage to the property and ensure replacement of the provider's equipment and contents.

A deviation from the above Insurance levels will only be agreed following a risk assessment and agreement from the local authority nominated officer.

#### 'Notifiable' Events - (Events and Notification Procedure)

Supported Accommodation Providers should have a Notification Policy which sets out the arrangements for notifying the young person's responsible authority of any serious incident. If any 'notifiable event' takes place the floating support manager or individual unit manager and the provider organisation senior manager shall, without delay, notify the appropriate responsible local authority contact.

The provider should have a policy and system in place to notify within 24 hours the nominated responsible local authority contact of the occurrence of any significant events. The policy and system should include what to do where a notifiable event arises at weekends.

A written record is kept which includes details of the action taken, and the outcome of any action or investigation, following a notifiable event.

The provider should also have a policy and system for notification to the responsible authority of any serious concerns about the emotional or mental health of a young person such that a mental health assessment would be requested under the Mental Health Act 1983.

Following a 'notifiable' incident the semi-independent supported accommodation provision contacts the responsible local authority nominated officer to discuss any further action that may need to be taken.

The requirements set out above are based on Regulation 30, Schedule 5 of the Children's Homes Regulations and Guidance 2001 amended 2011.

See Appendix Seven – Events and Notification Procedures and Forms.

#### Case Files

Supported Accommodation Providers should set up a case file for each young person placed with them. The file should be structured according to the model file provided by Peterborough City Council. The file should be structured as follows:

1. Basic and Essential Information;
2. Referral Form;
3. Individual Placement Contract;
4. Placement Plans, Care Plans and Pathway Plans;
5. Health Information and Health Plans;
6. Personal Education Plans and Education, Training and Employment Activities;
7. Risk Management Plan;
8. Letters;
9. Finance Information;
10. Supervision Actions;
11. Case Recording;
12. Keywork Sessions.

#### Case Recording

Supported Accommodation Providers should record all contacts with clients (young people), professionals, young people's family and friends and other individuals or organisations relating to young people in their placement/s, these should include:

- Telephone conversations and telephone messages and whether the call was to, or from the provider;
- Letters to and from the provider;
- Meetings about the young person (with or without the young person present);
- Visits to individuals and organisations;
- People visiting the young person;
- Text messages to, or from the provider;
- E-mail messages to, or from the provider;
- Keywork/support sessions;
- Significant events.

Supported Accommodation Providers should have a visitor's book and an accident and incident log for each unit and should record all visitors and log any accident and incident. Depending on the seriousness of the accident or incident these should be reported immediately to Peterborough City Council or discussed at the next case or contract/supervision meeting. In certain circumstances the incident may be deemed a 'Notifiable' event and should be dealt with in accordance with the 'Events and Notification' procedure.

See Appendix Seven 'Events and Notification' Procedures.

## Safer Recruitment

Supported Accommodation Providers should have policies and procedures on safer recruitment that cover the following issues: staff recruitment; application; short listing and appointing procedures.

For example, successful applicants should have:

- Photographic evidence of identity and the right to work in the UK signed and verified;
- Evidence of their current address – signed and verified – These must be current/valid and/or less than 6 months old;
- Qualifications – evidenced;
- Verification of gaps in employment;
- Two written references on official/headed paper where applicable, the references should be checked and confirmed by a phone call from the provider and the reference signed and dated with the confirmation information;
- A new valid enhanced DBS (CRB) check - organisation to retain a record of the unique reference number, the outcome of the check and the date the check was completed;
- Evidence of further checks where the member of staff has not always been resident in the UK;
- A personal interview;
- All of the above checks and information requirements should take place and be confirmed before the staff member is provided with an offer of employment and a contract.

## Supported Accommodation Providers Staffing and Supervision

All Supported Accommodation Provider staff, including managers and directors should have a personnel file. The file should contain the following information:

1. Start date and personal contact information;
2. Application form, CV, appointing information, references and identity documentation;
3. Qualifications and previous training;
4. Evidence of a new enhanced DBS (CRB) check (prior to starting);
5. Evidence of a risk assessment and risk evaluation where an enhanced DBS (CRB) check highlights a 'trace';
6. Contract;
7. Induction programme and evidence of completion;
8. Training record with the provider;
9. Supervision notes:
  - Supervision notes relating to the workers should be retained on the staff file;
  - Supervision notes and actions relating to individual young people should be placed in the young person's file;
10. Record of sickness, leave, disciplinary issues;
11. Where a staff member is promoted within the organisation, evidence of applications, interviews and a new contract should be present.

## Staff Skills and Training

Supported Accommodation Providers should have a training strategy to ensure that they have a suitably skilled and trained workforce. The policy should cover:

1. Essential, core and foundation training;
2. Specialist and advanced training.

All providers should have a matrix setting out the courses that each member of staff has completed and the frequency that courses should be repeated. Providers should set out the percentage of their staff that has a recognised health, social care and housing qualification.

As a minimum all staff must have attended recognised and approved:

1. Child protection/safeguarding training;
2. Substance and alcohol misuse training;
3. Managing risk training;
4. Cyber bullying, e-protection training;
5. Sexual exploitation training;
6. Child and adolescent development training, related to preparation for independence and the transition to adulthood (leaving care).

Depending on the level of need of the young people placed within a particular provider unit, staff will be expected to have specialist and advanced skills.

### Safer Caring

Supported Accommodation Providers should have policies on 'Safer Caring' that sets out guidance, procedures and protocols regarding ensuring young people and staff are aware of the parameters within which staff work and within which young people are supported. The policy should cover:

- Lone working;
- Entering young people's rooms;
- Personal and private space – bedrooms;
- Young people's visitors;
- Young people's family visiting;
- Shared space – communal areas;
- Allegations of inappropriate behaviour and abuse;
- Young people and risk taking behaviour;
- Sanctions;
- Staff codes and behaviour whilst on duty;
- Undertaking external visits;
- Confidentially, sharing information and e-protection;
- Safeguarding and child protection.

### Supported Accommodation Providers - Personal Information

Provider staff must not share their own or family personal details or contact details with young people. Provider staff should also be extremely careful regarding the information they leave on social networking sites and should not have contact with young people via these sites. Provider staff should not have contact with young people outside of work hours. In the event that a young person obtains personal details of a provider staff member this must be reported to the provider manager and the Peterborough City Council nominated officer. In circumstances where a provider member of staff inadvertently comes into contact with a young person outside of work hours this must be recorded using the standard case recording forms. Where young people return to the semi-independent provider unit after they have left, this should be recorded using the standard case recording forms and a copy sent to a) the young person's case worker and b) the nominated liaison contact in Peterborough City Council.

Supported Accommodation Providers should have policies on staff personal disclosure and what types of information is appropriate to share with young

people to promote positive role models and working relationships and what should not be shared. Whilst this is a complex area, it is expected that providers will develop guidelines for staff members and should be covered in a 'Codes of Conduct' manual.

#### Boundaries and Confidentiality

Providers should not accept gifts from young people and should deter young people from giving gifts to provider staff. However, in practice young people will often give gifts, such as chocolates and to refuse these may be considered rejecting and may result in a negative working relationship. Where it is considered inappropriate to reject, or turn down a gift the following procedures should be followed. The gift should be recorded by the Supported

Accommodation Provider and the manager of the provider (where applicable) and Peterborough City Council informed. The gift should be shared between the provider staff team. Gifts should only be given to young people by providers within the parameters of the leaving care finance policy and must be recorded. It is important to observe this policy in order to avoid young people having unrealistic expectations of providers, perceiving they are deemed 'favourites', setting up future expectations and importantly, providers and young people being open to accusations of persuasion/influence.

Providers should maintain confidentiality regarding all aspects of the young person's situation and circumstances. Information about current or previously placed young people should never be exchanged with other young people. Young people will often enquire about other young people that providers have supported and this opportunity should be used to ensure individual young people are made aware that information is confidential to that young person. In situations where providers have concerns about any aspect of confidentiality or the need to share information they must always contact their nominated Peterborough City Council contact and the young person's social worker.

Young people must be made aware of the limits to confidentiality when they move to Supported Accommodation. Young people must be aware that providers have a duty to share information where it is assessed that the young person is at risk, or the young person is putting others at risk.

Providers should have a policy and protocol on entering young people's rooms and under what circumstances a member of staff will enter a young person's room. All staff and young people should be fully aware of the 'entering a young person's room' policy and protocol.

#### Equality and Diversity

Supported Accommodation Provider organisations should have equality and diversity policies that address how they will avoid discrimination on the grounds of gender, class, religion, belief, culture, race, language, sexuality and sexual orientation. In addition, the policy should set out how the organisation and staff will promote a positive identity of 'care' and being a 'care leaver' and how they will challenge the often negative stereotypes and perceptions of those in, and leaving care.

#### Meeting Cultural and Linguistic Needs

Supported Accommodation Provider organisations should have staff who are able to understand and meet the cultural and linguistic needs of young people placed



with them. This is particularly important where organisations are providing placements for Unaccompanied Asylum Seeking Children, but is equally important for all young people. Similarly, provider staff should have sufficient literacy skills to ensure that they can support young people with education activities, form filling and written tasks appropriate to the transition to adulthood.

#### Transporting Young People

In circumstances where Supported Accommodation Providers transport young people the following requirements must be observed:

- Vehicles must have a valid MOT, be roadworthy at the time of use and have a current Road Vehicle License (Tax);
- Drivers must hold a Full Driving License and have Fully Comprehensive Business Use Insurance; both must be relevant to the category of vehicle used to transport the young person.

#### Anti-Smoking Policy

All Supported Accommodation Providers should have an Anti-Smoking Policy that sets out the providers approach to discouraging smoking which includes:

- Having a designated smoking area outside of the individual supported accommodation;
- Ensuring staff do not smoke in the presence of young people;
- Promoting the positive health benefits of non smoking;
- Promoting strategies for helping young people to give up smoking.

#### Anti-Bullying Policy

All Supported Accommodation Providers should have an Anti-Bullying Policy that sets out the providers approach to discouraging and dealing with incidence of bullying that includes:

- Developing staff awareness and understanding of bullying;
- Understanding cyber bullying;
- Dealing with incidence of bullying;
- Helping young people to understand bullying and its implications;
- Helping young people to be assertive and disclose bullying;
- Promoting awareness of organisations and services that can support those being bullied.

#### Anti-Substance Misuse Policy

All Supported Accommodation Providers should have an Anti-Substance Misuse Policy that sets out the providers approach to discouraging and dealing with substance misuse that includes:

- Prompting knowledge (amongst staff and young people) of the effects of alcohol, prescription drugs, illegal drugs and other substances that can be misused;
- Awareness of agencies and services that can help young people deal with substance misuse and its effects;
- Promoting strategies to assist young people avoid substance misuse.

#### Promoting Positive Health Policy

All Supported Accommodation Providers should have a Promoting Positive Health Awareness Policy that encompasses their anti-smoking and anti-substance misuse approach, as well as how the providers promotes general health and well-

being including positive nutrition, health awareness, sexual health, dental, optical and hearing awareness.

#### Access to Files - Young People

All Supported Accommodation Providers should hold copies of Peterborough's' Access to Records Leaflet and provide information to young people on the process of accessing their records.

All Supported Accommodation Providers should have a policy on how young people can access the records that they hold about the young people.

All case files must be returned to Peterborough City Council. The young person's case record must be kept until the 75<sup>th</sup> anniversary of his or her date of birth, or 15 years from the date of death in the case of a young person who dies before reaching the age of 18.

#### Missing Policies and Procedures

Young people living in Supported Accommodation have generally been assessed as capable of living in a semi-independent setting and as such, are able and required to take a high degree of responsibility for themselves, as part of their transition to adulthood and preparing for independent living. Therefore, young people should be able to take a significant degree of self responsibility with appropriate guidance. Young people, in principle are expected to live at the

Supported Accommodation and reside overnight on a full time, seven day/night per week basis. However, if young people are staying away from their Supported Accommodation on an occasional basis they should seek permission from their social worker, Peterborough City Council and the provider. Young people should provide an address and contact details in order that a risk assessment can be undertaken and permission given. This is required to ensure all 16 and 17 year olds are safeguarded and their whereabouts are known.

#### Supported Accommodation Providers – Missing Policy

Policies and protocols relating to young people who are 'Missing' generally set out three key definitions in terms of young people who are absent from a placement without permission and who may be missing:

1. Unauthorised Absence;
2. Absconder;
3. Missing Child (Young Person).

Supported Accommodation Providers should develop a 'Missing and Absence' policy regarding how they monitor young people placed with them. The Policy should set out:

- What time young people are expected to return to the accommodation;
- Signing young people in and out of the accommodation (also required for health and safety and fire monitoring procedures);
- A process for assessing whether a young person who is not present in the accommodation is 1) an unauthorised absence, 2) an absconder, 3) or a missing child;
- The policy must set out a start point/time for implementing a process to decide which of the above (1, 2 or 3) applies to an individual young person. For example, young people should always have a time when they are expected to 'check in' or be at the accommodation on a daily basis;

- The policy needs to be flexible, but precise regarding a 'check-in' point, particularly where young people are living in independent accommodation and receive weekly out-reach support;
- Where young people are 'checking in', their well-being must be verified, i.e. text messages must be verified by phone contact;
- Prior to formally reporting the young person as missing every effort should be made to contact the young person via known contacts such as workers and professionals, friends, family, school/college or work;
- Where Provider staff have any concerns regarding a young person who is absent from the placement and there are any risks/issues regarding the young person (both to the young person and others) it may be appropriate to report them missing immediately;
- Provider staff should contact their manager, the young person's social worker, the nominated Peterborough City Council worker [or duty contact], the Emergency Duty Team and consult their policy & protocol if they require advice, guidance or have any concerns.

When a young person moves to the supported accommodation a record of friends, family and key contacts (with contact details) should be made and an up- to-date photograph placed on file. In circumstances where the young person is missing, staff should contact the relevant friends, family and key contacts and where necessary the photograph should be provided to the police. Young people should be made aware of the process that will be followed should they 'go missing'. Any incident of a young person 'going missing' must be notified to their social worker and the responsible authority named contact.

Supported Accommodation Providers must hold copies of Peterborough City Council's Joint Protocol for Safeguarding Children and Young People who go Missing from Home and Care in Peterborough (appendix B1).

Where young people are placed outside of Peterborough, the Supported Accommodation Provider must hold copies of the Local Authority Policy and Protocol for the given area on 'Missing Children' and comply with all elements of the Policy and Protocol.

Supported Accommodation Providers Missing Policies will need to recognise the type of supported accommodation or independent accommodation and the level of on-site support or floating support being provided.

Information Checklist.

Preparation for Adulthood and Independence

The primary task of the Supported Accommodation Provider is to assist young people to develop practical, emotional, relationship, resilience and financial skills to achieve a successful transition from care to independent living, within a safe caring framework.

See Peterborough's City Council Leaving Care Procedures - appendix 4

## Measuring and Evaluating Outcomes

Evidencing the Impact of Services should be measured by use of the 'Outcomes Star' model. There are a number of Outcomes Stars but the Young Person's Star is the most relevant for Supported Accommodation.

The "Young Person's Star" is designed to support and measure progress for young people making the transition to independence, including young care leavers, those leaving Youth Offender Institutes and homeless young people. This includes support to find and manage a suitable home but also to discover and take steps towards a meaningful future for them and maximise their life chances.

The Young Person's Star focuses on seven areas identified by service users, workers, managers and commissioners as key to enabling young people to be independent:

1. Accommodation - keeping to a tenancy or licence agreement, finding the right place to move on to, cooking/shopping and other independent living skills, understanding letters, getting on with the neighbours, and safety at home.
2. Work, training and education – including having structure, aspiration and things to do and places to go that give life meaning
3. People and support – building peer and family support and positive relationships
4. Health – physical and mental health, emotional well-being and sexual health
5. Choices and behaviour – making safe and positive choices in relation to drugs and alcohol and not getting involved in crime or antisocial behaviour
6. Money and rent – benefits, rent, budgeting and bills, grants, saving, borrowing and rent
7. Confidence and coping – strengths and resilience, adapting to change, coping with setbacks, positive risk-taking and identity (knowing who you are).

### Compliments, Comments and Complaints

Supported Accommodation Providers should develop a Compliments, Comments and Complaints Policy Framework that covers how they will manage:

1. Complaints from young people;
2. Comments and concerns raised by young people and professionals;
3. Compliments from young people and professionals;
4. Gathering young people's feedback;
5. Ensuring feedback regarding young people's views to the responsible authority.

### Reviews of Providers

Supported Accommodation Providers will be subject to an annual review and/or a review following a 'notifiable' event, or a major concern being raised.

Reviews will involve staff from:

1. Brokerage;
2. Children's Commissioning;
3. Adult's Commissioning;
4. Case holding teams.

and will involve consultation with local police liaison officers and council housing and environmental health/public sector housing officers.

Where necessary, safeguarding staff and the Local Authority Designated Officer (LADO) will be involved in the review.

Where reviews take place of semi-independent accommodation units or providers located outside of Peterborough, consultation will also take place with the local Children's Services, in addition to staff and agencies listed above.

APPENDIX THREE

Service Standards and Expectations of Semi- Independent – Supported  
Accommodation Providers (Inspection Checklist)

The aim of this checklist is to assist staff undertaking inspections of providers of semi-independent accommodation and support (Landlords, Private Providers and [Registered Providers] Registered Social Landlords/Housing Associations) and the policy frameworks they should have. The requirements set out below should be used to assess:

1. Individual landlords (not providing support);
2. Private providers;
3. Registered providers.

Not all aspects of the checklist will apply to individual landlords who do not provide support.

**Managing Risk and Young People with Different Needs**

Does the provider have a managing risk and different levels of needs policy?.....

Do all young people have a written risk management plan on their file which is reviewed on a regular basis (Risk Assessment Policy). The initial risk assessment should be provided by Peterborough City Council.

Comments.....

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

**Client Information**

Does the provider have a managing client information policy?.....

Comments.....

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

**Referrals and Placements**

Does the provider have a managing referrals policy?.....

1. The provider only accepts referrals for young people whose assessed need it can reasonably be expect to meet. (Peterborough City Council Referral).
2. The provider has a policy on matching the level of need of the young people sharing the accommodation which includes matching young people from different local authorities and/or other young people age 18 and over.

Comments.....

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

--	--	--

**Client Reports**

Does the provider use the Peterborough City Council report format and provide reports within the frequency required?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Property - Health and Safety**

Do all properties meet the minimum health and safety standard?.....

Comments.....

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

**Supported Accommodation Provider Insurance Cover:**

Does the provider have the proscribed level of insurance cover?                      Yes / No

Professional Indemnity - £5 million.

- Employers Liability - £10 million.
- Public Liability - £5 million.
- Adequate buildings insurance.
- Adequate contents insurance.

**Notifiable Events**

Does the provider have a 'notifiable' events policy?.....

Comments.....

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

**Case Files, Case Recording and Supporting Documentation**

Does the provider have a case recording policy?.....

Are all case files and recording undertaken in line with the policy?..... Does the provider have an accident log, incident log and visitors handbook?.....

Are the above documents used correctly and they up to date?.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Safer Recruitment**

Does the provider have a safer recruitment policy?.....



Is there supporting evidence that all staff are recruited in line with the policy and PCC standards?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Staffing and Supervision

Does the provider have a staffing and supervision policy?.....

Is there evidence of supervision in line with Peterborough City Council standards?.....

Does the provider have a whistle blowing policy which is understood by all staff and volunteers?.....

Does the provider have a lone working policy?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Staff Skills and Training

Does the provider have a staff skills and training policy?.....

Is there evidence of provider staff having the correct level of skill to meet the needs of the young people supported by the provider?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Safer Caring

Does the provider have a Safer Caring Policy?.....

Is there evidence of the provider operating a safer caring framework?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Personal Information

Does the provider have a policy on staff personal information?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Boundaries and Confidentiality

Does the provider have a boundaries and confidentiality policy?.....

Does the provider have a policy and protocol regarding entering a young person's room?

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Equality and Diversity

Does the provider have an equality and diversity policy?.....

Is there evidence of the provider operating a equality and diversity framework?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Meeting Cultural and Linguistic Needs

Does the provider have suitable staff and policies to ensure they can meet the cultural and linguistic needs of the young people placed with them?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Transporting Young People

Does the provider transport young people by motor vehicles?.....

If yes, does the provider have a transporting policy?..... If no,

does the provider have a policy on the use of public transport and undertaking visits with young people?.....

All vehicles used to transport young people (company or private) must be road worthy and have a valid MOT and Road Vehicle License.

Drivers must hold a full driving license and have fully comprehensive business use insurance.

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Anti-Smoking Policy

Does the provider have an anti-smoking policy?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Anti-Bullying Policy

Does the provider have an anti-bullying policy?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Anti-Substance Misuse Policy

Does the provider have an anti-substance misuse policy?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Managing Behaviour Policy

Does the provider have a policy on managing young people's risk taking

behaviour? (Behaviour and Risk Management Policy).

Does the provider have a behaviour and risk management policy?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Promoting Health Awareness Policy

Does the provider have a policy for young people on how it promotes a positive approach to health awareness?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Safeguarding Policy and Procedures

Does the provider have a safeguarding policy and procedure that is compliant with the local safeguarding children board procedures? Yes No

Are safeguarding and protection from abuse policies an integral part of the staff induction and training program. Can staff demonstrate an understanding of the policy and reporting procedures? Yes No

Do provider staff understand their professional boundaries which are set out in a code of conduct protocol?

Are safeguarding and protection from abuse policies and procedures communicated to young people so that the system for raising concerns is understood? This should include an external contact outside of the organisation.

Is there a log maintained to record details of cases and outcomes and to show that appropriate action was taken?

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Access to Files - Young People**

Does the provider have copies of the Peterborough Access to Files Leaflet?.....

Does the provider have a policy on how young people can access the information and files they hold on a young person?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Missing Policies and Procedures**

Does the provider have a Missing Policy and Procedures framework?.....

Does the missing policy reflect the nature of the accommodation provided and level of support (supported accommodation ranging from 24 hour staffing to limited staffing and/or independent accommodation with outreach and floating support)?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Preparation for Independence - Measuring and Evidencing Outcomes** Does the provider have a preparation for independence policy and framework that sets out keywork activities and tasks and how to measure outcomes for young people?.....

Does the provider have a preparation for independence and/or life skills handbook or do they use the Hertfordshire County Council handbook?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

**Compliments, Comments and Complaints**

Does the provider have a compliments, comments and complaints policy?.....

Does the provider have a copy of the Peterborough City Council's complaints policy and copies of the complaints leaflet?.....

Comments.....

Fail/Unsatisfactory	Pass/Satisfactory	Good/Comprehensive

Overall Rating

Fail/Unsatisfactory                      Pass/Satisfactory                      Good/Comprehensive

Comments

.....  
.....  
.....

1. Strengths

.....  
.....  
.....

2. Areas for improvement

.....  
.....  
.....

3. Actions with timescales

.....  
.....  
.....

Staff undertaking inspection

.....  
.....

Date

.....

## APPENDIX FOUR

### Social Worker & Leaving Care Personal Adviser - Visiting Checklist

The aim of this checklist is to provide guidance to staff visiting young people placed in semi-independent supported accommodation.

Where individual staff have any comments or concerns regarding the areas set out below, they should raise these with their manager and inform the Commissioning Team. Depending on the seriousness of the issue, these should be raised immediately, or, via e-mail where issues are less significant.

1. Overall condition of the property:
  - Damage;
  - Cleanliness;
  - Fixtures and fittings;
  - Young person's room and furnishings;
  - Access to kitchen and food storage facilities.
  
2. Activities:
  - What are the key tasks and activities expected of the provider;
  - Does the young person have and engage in regular keywork sessions;
  - What is being undertaken to encourage the young person to engage in activities.
  
3. Provider staff support:
  - Are staff present in the building;
  - Are staff engaging with the young people;
  - Are staff able to meet the cultural and linguistic needs of the young people;
  - Are staff providing 'appropriate support and guidance';
  - Are there any concerns regarding provider staff not having the appropriate skills and knowledge regarding the young people placed in the accommodation;
  - Are there any concerns about the provider staff not acting as a 'positive role model'.
  
4. Young people placed in the property:
  - Is the young person you are responsible for appropriately matched to the level of need and risk of other young people placed in the property;
  - Are there any risk issues which are not being addressed – to and from your young person;
  - Do you have any concerns regarding the provider's ability to manage the young people's behaviour:
    - o Substance misuse;

- o Bullying;
- o Exploitation;
- o Contact with people putting the young person at risk.

5. Documentation:

- Does the provider have an up to date;
  - o Pathway plan;
  - o Placement plan;
  - o Health plan;
  - o Personal education plan;
  - o A copy of the missing and key contacts checklist;
  - o Risk assessment.

Supported Accommodation - Children's Home - Department for Education -  
Guidance

Annex B – Supported Accommodation

The Annex below sets out criteria to be used in order to form a judgement about whether a placement option constitutes “supported accommodation” rather than children’s home. Where evaluation of these criteria indicates that staff are primarily responsible for resident care, rather than residents generally being able to assume responsibility for themselves - this would indicate that registration as a children home is likely to be appropriate.

- **Can young people go out of the establishment without staff permission?** Where young people remain in the care of staff, whether the young people are in or out of the establishment, and therefore are expected to ask permission to leave the establishment, that indicates that care is provided.
- **Do young people have full control of their own finances?** Where staff have any control or responsibility for a young person’s finances this is an indicator that care is provided.
- **Do young people have control over what they wear and of the resources to buy clothes?** Where staff have any control or responsibility for a young person’s finances this is an indicator that care is provided.
- **Are young people in charge of meeting all of their health needs, including such things as arranging GP or specialist health care appointments? Do staff control any young person’s medication?** Young people may ask for advice and help but if decisions rest with the young person that does not mean that care is being provided. Where staff manage a young person’s health needs as described this is an indicator that care is provided.
- **Do staff have any access to medical records?** Where staff have access to a young person’s medical records this is an indicator that care is provided.
- **Can young people choose to stay away overnight?** Where staff have control about whether a young person stays away overnight this is an indicator that care is provided. Being expected to tell someone if they are going to be away overnight does not indicate provision of care, but needing to ask someone’s permission does.
- **Is there a sanctions policy which goes beyond house rules and legal sanctions that would be imposed on any adult?** Where an establishment has and implements a formal or informal sanctions policy as described above this is an indicator that care is provided.
- **If the establishment accommodates both adults and young people, do those under 18 have any different supervision, support, facilities or restrictions?** Where an establishment accommodates both adults and young



people and there are significant differences in the levels of support, supervision or care these two groups receive this is an indicator that care is being provided for those under 18.

- **Are there regularly times when young people are on the premises with no direct staff supervision?** Where young people are expected to spend a significant amount of their time on their own, without staff supervision, then this would suggest that though perhaps they are being offered some support, they are not being offered care.
- **Do staff have any responsibility for aftercare once a young person has left?** Where staff have any responsibility for aftercare once a young person has left this is an indicator that that care is being provided, although some supported accommodation services will offer some support to help young people get established in their next accommodation.
- **Does the establishment's available literature promise provision of care, or relate to specific care support provided to all residents rather than provide general information about services young people can choose whether they use or not?** Where the establishment's literature demonstrates an expectation that residents will be provided with care or use specific care support services, this is an indicator that that both care and accommodation are provided.
- **Does the home provide or commission a specialist support which forms part of the primary function of the establishment for a significant number of young people?** Where there is a specialist support service which forms part of the primary function of the establishment this is an indicator that care is provided.

<http://www.education.gov.uk/aboutdfe/statutory/g00222870/children-act-1989-childrens-homes>

## APPENDIX SIX

Roles and Responsibilities Table
----------------------------------

Department	Task	Timescale	Frequency
Independent Reviewing Officer	Hold review prior to agreeing a move to 'Other Arrangements' or where this is not possible visit and consult the child prior to a move	Prior to a placement being approved or made	All cases
Social Worker or Leaving Care Personal Adviser	Referral for semi-independent placement	ASAP – forward planning regarding placement needs	All cases
	Social worker to assess that the young person's needs are best met in 'Other Arrangements'	ASAP	All cases
	Risk assessment of the young person to be provided to the placement provider regarding risk to others and placement matching etc	With all referrals	All cases
	To ensure compliance with the frequency of visits and reviews	See Care Planning, Placements and Case Review Guidance and Regulations 2010 Minimum Timescale Requirements	
	To liaise with provider staff		
To ensure the young person has an up to date: <ul style="list-style-type: none"> <li>• Pathway/Care Plan</li> <li>• Placement Plan</li> <li>• Personal Education Plan</li> <li>• Health Plan</li> </ul>			
To ensure all contact information and key contacts are available should a young person 'go missing' are set out in the Placement Plan	At commencement of the placement	All cases	
Access to Resources Team	Identify individual placements	ASAP	All cases
	Joint visits/inspections to all semi-independent providers and all separate accommodation provision with Commissioning staff	When placement being considered outside framework agreement	Yearly
	Risk Assessments	As required, all new	As required

		placements outside framework agreement	
	PNC Checks, LA Checks, DBS Checks	For accommodation provided by individual landlord	As required
	To provide a named responsible authority contact for all accommodation providers and placements providers	At commencement of all placements	Renew as staff change
Children's Services Commissioning Staff	Initial approval of all semi-independent accommodation providers inline with the agreed AP1/ContrOCC Protocol and Verification Procedures.	When new provider accepted onto framework agreement, or when placement required outside of framework agreement	As required Yearly
	Joint visits/inspections to all semi-independent providers and all separate provider accommodation provision with Commissioning Team	As required	All cases
	Financial viability assessment	In all situations	Yearly
Health and Community Services Commissioning Staff – (Accommodation Solutions)	Joint visits/inspections to all registered semi-independent providers (Registered Social Landlords) with Commissioning staff – RSL's receiving Accommodation Solutions funding	In all situations	Yearly
	Quality Assessment Framework – QAF – East Of England Monitoring Form	The use the QAF to assist with qualitative evaluation	As required
Responsible Authority Nominated Officer	Signing-off of all complex risk assessments, DBS Check 'traces' which require risk assessments	In all situations	All cases
	Any accommodation or placement that involves an immediate response and is outside the PCC framework agreement	In all situations	All cases
	Awareness of any 'notifiable' and/or serious event	In all situations	All cases

Provider Organisation	To ensure compliance with all aspects of the 'Other Arrangements' framework	At all times	At all times
	Develop Policy Framework – Particularly:- <ul style="list-style-type: none"> <li>• 'Missing' Policy developed and complied with</li> <li>• Development and compliance with 'Notification' Policy</li> </ul>	When first placed on PCC framework agreement, or when a placement is provided outside of the framework agreement	All providers
	To contribute to, and provide services as set out in the young person's: <ul style="list-style-type: none"> <li>• Pathway/Care Plan</li> <li>• Placement Plan</li> <li>• Personal Education Plan</li> <li>• Health Plan</li> </ul>	On-going	On-going
	To provide up-dates and summary reports to the young person's social worker/personal adviser	As set out in the individual placement agreement	On-going

## APPENDIX SEVEN

Events and Notifications Procedure
------------------------------------

**(Adapted from Schedule 5, Regulation 30, Children's Homes Regulations 2001 - Amended 2011)**

PETERBOROUGH CITY COUNCIL Children's

Services

EVENTS AND NOTIFICATION PROCEDURE

Private Providers

Events relating to following groups of children and young people:

- Vulnerable young people aged 16 & 17.
- Children looked after age 16 & 17, and Care Leavers aged to 21/24.
  1. Placed by Peterborough Children's Services.
  2. Children and young people placed by other local authorities or agencies with Peterborough children and young people.

The following Events must be notified to Peterborough City Council **as soon as practically possible and within 24 hours** as a maximum by means of:

- First Stage: An immediate phone call to the relevant Social Worker/Team.
- Second Stage: A follow up email to the child's Social Worker/Team and the Access to Referrals Team (ART) at: [artduty@peterborough.gov.uk](mailto:artduty@peterborough.gov.uk) **01733 863840** to include as an attachment a completed **Peterborough City Council - Events and Notification Form.**

On receipt –

- Social Worker and ART to assess for immediate actions

- Third Stage: ART and Young People Commissioning to review the situation and issue an **Events and Notification - Outcomes and Actions Form.**
- Fourth Stage: ART & Children and Young People Commissioning and the Accommodation/Support Provider to complete and distribute a completed **Events and Notification - Outcomes and Actions Form.**

**Note:**

All notifications should be sent by secure electronic systems that do not breach data protection.

In the event of a child/young person going missing or any other serious incident requiring the involvement of the Social Worker occurring outside of core office hours notification should initially be made to the **Emergency Duty Team: 01733 234724**

## 22. Reason for notification – tick as appropriate

(X) Indicates which situations and events occurring to a child/young person require a 'Notification'

Living in the Private Provider Accommodation:  rough	Child/Young Peterbo  Person	Child/Y oung Person from another Local Authori ty
1. Death of any child/young person accommodated.	X	X
2. Serious illness, serious infectious disease or serious accident sustained by a child/young person accommodated.	X	X
3. Allegation that any child/young person accommodated has committed a serious offence.	X	X
4. Involvement or suspected involvement of a child/young person accommodated in prostitution (sexual exploitation).	X	X
5. Serious incident necessitating calling the Police to the premises.	X	X
6. Instigation and outcome of any safeguarding enquiry involving a child/young person accommodated.	X	X
7. A serious complaint about the home, any persons working there or within the parent organisation (including disciplinary issues).	X	X
8. A Peterborough child/young person accommodated goes missing.	X	
9. A Peterborough child/young person is involved in self harm and/or an attempted suicide.	X	
10. A Peterborough child/young person accommodated failing to attend a specialist appointment, i.e CAMHS, GP (if a significant health issue) Court etc.	X	
11. Advanced notification of a child/young person from another local authority being placed (Provider to have a robust risk and matching policy).		X

NB. A 'Notification' should occur where a situation arises that puts a child aged 16 & 17 (or care leaver aged 16 & 17) at risk or potential risk.

## PETERBOROUGH CITY COUNCIL

### Children's Services

#### EVENTS AND NOTIFICATION PROCEDURE

Registered Social Landlord Providers (Providing Accommodation for 16 to 24 year olds)

Events relating to the following groups of children and young people:

- Vulnerable young people aged 16 & 17.
- Children looked after aged 16 & 17.
- Care leavers aged 16 & 17 funded by and/or the responsibility of Peterborough City Council.
- Care leavers aged 18 to 21/24 funded by and/or the responsibility of Peterborough City Council.
- Specific groups of young people aged 18 to 24 identified in column B.

The following Events must be notified to Peterborough City Council **as soon as practically possible and within 24 hours** as a maximum by means of:

- First Stage: An immediate phone call to the relevant Social Worker/Team (if case worked by PCC).
- Second Stage: A follow up email to the child's Social Worker/Team and the ART Team at: [artduty@peterborough.gov.uk](mailto:artduty@peterborough.gov.uk) **01733 863840** to include as an attachment a completed **Peterborough City Council – Events and Notification Form**.

On receipt –

- Social Worker and ART to assess for immediate actions
- ART pass the details onto a Commissioning Manager for action.
- Third Stage: Commissioning Manager to issue an **Events and Notification - Outcomes and Actions Form**.
- Fourth Stage: Commissioning Manager and the Accommodation/Support Provider to complete and distribute a completed **Events and Notification - Outcomes and Actions Form**.

#### **Note:**

All notifications should be sent by secure electronic systems that do not breach data protection.

In the event of a child/young person aged 16 or 17 going missing, or any other serious incident requiring the involvement of the Social Worker occurring outside of core office hour's notification should initially be made to the **Emergency Duty Team: 01733 234724**

**22. Reason for notification – tick as appropriate**

(X) Indicates which situations and events occurring to a child/young person require a 'Notification'

	Column	A	B
Living in the Registered Provider Accommodation:		- Vulnerable Young Person (aged 16 or 17)	- Young Person (aged 18 to 24 referred by housing, self referral or an other local authority / agency)
		- Child Looked After (aged 16 or 17)	
		- Care Leaver (aged 16 or 17)	
		- Care Leaver (aged 18 to 21/24) [if known to be a care leaver]	
1. Death of any child/young person living in the provision.		X	X
2. Serious illness, serious infectious disease or serious accident/incident sustained by a child/young person living at the provision.		X	
3. Serious illness, serious infectious disease or serious accident/incident sustained by a young person living at the provision. – In line with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) reporting requirements (major reportable diseases, major reportable injuries).			X
4. Allegation that any child/young person living at the provision has committed a serious offence, including a sexual offence.		X	X
5. Involvement or suspected involvement of a child/young person living at the provision in prostitution (sexual exploitation).		X	X
6. Serious incident necessitating calling the Police to the premises.		X	
7. Instigation and outcome of any safeguarding child / safeguarding adult enquiry involving a child/young person living at the provision.		X	X
8. A serious complaint about the home, any persons working there or within the parent organisation (including disciplinary issues).		X	X
9. A child/young person living at the provision goes missing.		X	
10. A child/young person living in the provision is involved in a self harm incident and/or an attempted suicide.		X	
11. A child looked after aged 16 or 17, a care leaver aged 16 or 17, or a vulnerable 16 or 17 year old living in the provision fails to		X	



attend a specialist or significant appointment, i.e. CAMHS, GP,  
Court etc.

NB. A 'Notification' should occur where a situation arises that puts a child aged 16 & 17 (or care leaver aged 16 & 17) at risk or potential risk.

PETERBOROUGH CITY COUNCIL

Children’s Services  
**EVENTS AND NOTIFICATION FORM**

Private Providers

Events relating to following groups of children and young people:

- Vulnerable young people aged 16 & 17.
  - Children looked after age 16 & 17, and Care Leavers aged to 21/24.
1. Placed by Peterborough Children’s Services.
  2. Children and young people placed by other local authorities or agencies with Peterborough children and young people.

**Note:**

All notifications should be sent by secure electronic systems that do not breach data protection.

**PRIVATE PROVIDER ORGANISATION AND CONTACT DETAILS**

1. **Name of Accommodation Unit**
2. **Full Address of Accommodation Unit**
3. **Name and Full Address of Provider Organisation**
4. **Email**

**NOTIFICATION FOR CHILD/YOUNG PERSONS - DETAILS**

- |   |                         |
|---|-------------------------|
| 5. <b>Initials of child(ren)/young person (people) relating to the notification</b> | 6. <b>Date of Birth</b> |
|---|-------------------------|

- 1
- 2
- 3
- 4

**CHILDREN/YOUNG PEOPLE ACCOMMODATED AT THE UNIT**

	7. <b>Initials of children/young people (accommodated at the unit)</b> Please use initials only, and insert more rows if needed	8. <b>Date of Birth</b>
1		
2		
3		
4		

**9. PLACING AUTHORITY (IES)**

Please insert more rows if needed

For 1 above	
For 2 above	
For 3 above	
For 4 above	

**INCIDENT DETAILS**

**10. Date of incident**

**11. Time of incident (24 hr clock)**

**12. Location of incident**

**If incident caused the death of a child/young person then please complete the following:**

**13. Cause of death (if known)**

**14. Date of death (if different from above)**

**15. Time of death (if different from above) 24 hr clock**

**FOR ALL INCIDENTS PLEASE SPECIFY:**

**16. Details of staff on duty**  
Please use initials only, and insert more rows if needed

**17. Job Title**

<b>18. Witness names (if applicable)</b> Please use initials only, and insert more rows if needed	<b>19. Job title or role/relationship/other</b>

<b>20. The name of the person in 16 or 18 above who informed:</b>
• The Police:
• The Emergency Services:
• The Senior Management within the Organisation:
• The Relevant Health Care Professional:
• The Placing Authority (if not PCC):
• The Parents:

## DESCRIPTION OF INCIDENT

### 21. Please provide details of the incident

## NOTIFICATIONS

### 22. Reason for notification – tick as appropriate

(X) Indicates which situations and events occurring to a child/young person require a 'Notification'

Living in the Private Provider Accommodation:  rough	Child/Young Peterboro Person	Child/Y oung Person from another Local Authori ty
1. Death of any child/young person accommodated.	X	X
2. Serious illness, serious infectious disease or serious accident sustained by a child/young person accommodated.	X	X
3. Allegation that any child/young person accommodated has committed a serious offence.	X	X
4. Involvement or suspected involvement of a child/young person accommodated in prostitution (sexual exploitation).	X	X
5. Serious incident necessitating calling the Police to the premises.	X	X
6. Instigation and outcome of any safeguarding enquiry involving a child/young person accommodated.	X	X
7. A serious complaint about the home, any persons working there or within the parent organisation (including disciplinary issues).	X	X
8. A Peterborough child/young person accommodated goes missing.	X	

- 9. A Peterborough child/young person is involved in self harm and/or an attempted suicide. **X**
- 10. A Peterborough child/young person accommodated failing to attend a specialist appointment, i.e CAMHS, GP (if a significant health issue) Court etc. **X**
- 11. Advanced notification of a child/young person from another local authority being placed (Provider to have a robust risk and matching policy). **X**

NB. A 'Notification' should occur where a situation arises that puts a child aged 16 & 17 (or care leaver aged 16 & 17) at risk or potential risk.

**23. Was the GP called?      Yes / No / not applicable (please circle)**

**24. Name of GP**

**25. Date**

**26. Time: (24 hr clock )**

**27. Were the emergency services called? Yes / No / not applicable (please circle)**

**28. Type of Service Called**

**29. Date**

**30. Time: (24 hr clock)**

**31. Person Completing the Form Signed (Electronic Signature)**

**Print name**

**Job Title**

**Date**

**Time**

PETERBOROUGH CITY COUNCIL

Children's Services  
EVENTS AND NOTIFICATION FORM

Registered Social Landlord Providers (Providing Accommodation for 16 to 24 year olds)

Events relating to the following groups of children and young people:

- Vulnerable young people aged 16 & 17.
- Children looked after age 16 & 17.
- Care leavers aged 16 & 17 funded by and/or the responsibility of Peterborough City Council.
- Care leavers aged 18 to 21/24 funded by and/or the responsibility of Peterborough City Council.
- Specific groups of young people aged 18 to 24 identified in column B.

**Note:**

All notifications should be sent by secure electronic systems that do not breach data protection.

**REGISTERED LANDLORD/HOUSING ASSOCIATION CONTACT DETAILS**

1. Name of Accommodation Provision
2. Full Address of Accommodation Provision
3. Name and Full Address of Registered Landlord / Housing Association Organisation
4. Email

**NOTIFICATION FOR CHILD/YOUNG PERSON - DETAILS**

5. Initials of child(ren)/young person (people) relating to the notification		6. Date of Birth
1		
2		
3		
4		

**CHILDREN/YOUNG PEOPLE ACCOMMODATED AT THE UNIT**

<b>7. Initials of children/young people (living at the provision)</b> Please use initials only, and insert more rows if needed		<b>8. Date of Birth</b>
1		
2		
3		
4		

**9. PLACING AGENCY (Housing Department/Self Referral/Other)**  
Please insert more rows if needed

For 1 above

For 2 above

For 3 above

For 4 above

**INCIDENT DETAILS**

**10. Date of incident**

**11. Time of incident (24 hr clock)**

**12. Location of incident**

**If incident caused the death of a child/young person then please complete the following:**

**13. Cause of death (if known)**

**14. Date of death (if different from above)**

**15. Time of death (if different from above) 24 hr clock**

**FOR ALL INCIDENTS PLEASE SPECIFY:**

<b>16. Details of staff on duty</b> Please use initials only, and insert more rows if needed	<b>17. Job Title</b>

18. Witness names (if applicable) Please use initials only, and insert more rows if needed	19. Job title or role/relationship/other

**20. The name of the person in 16 or 18 above who informed:**

- The Police:
- The Emergency Services:
- The Senior Management within the Registered Landlord/Housing Association:
- The Relevant Health Care Professional:
- The Referring Authority or Agency (if not PCC):
- The Parents:

**DESCRIPTION OF INCIDENT**

**21. Please provide concise, but specific details of the incident**

**NOTIFICATIONS**

**22. Reason for notification – tick as appropriate**

(X) Indicates which situations and events occurring to a child/young person require a 'Notification'

	Column	A	B
Living in the Registered Provider Accommodation:		- Vulnerable <small>(aged 16 &amp; 17)</small>	- Young Person
		Young Person	(aged 18
		- Child Looked After	to 24
		(aged 16 or 17)	referred
		- Care Leaver	by
		(aged 16 or 17)	housing,
		- Care Leaver	self
		(aged 18	referral
		to 21/24)	or an
		[if known	other
		to be a	local
		care	authorit
		leaver]	y /
			agency)
1. Death of any child/young person living in the provision.	X		X
2. Serious illness, serious infectious disease or serious accident/incident sustained by a child/young person living at the provision.	X		
3. Serious illness, serious infectious disease or serious accident/incident sustained by a young person living at the			X



provision. – In line with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) reporting requirements (major reportable diseases, major reportable injuries).

- |  |          |          |
|--|----------|----------|
| 4. Allegation that any child/young person living at the provision has committed a serious offence, including a sexual offence. | <b>X</b> | <b>X</b> |
|--|----------|----------|

- |  |          |          |
|--|----------|----------|
| 5. Involvement or suspected involvement of a child/young person living at the provision in prostitution (sexual exploitation).   | <b>X</b> | <b>X</b> |
| 6. Serious incident necessitating calling the Police to the premises.  | <b>X</b> |          |
| 7. Instigation and outcome of any safeguarding child / safeguarding adult enquiry involving a child/young person living at the provision.  | <b>X</b> | <b>X</b> |
| 8. A serious complaint about the home, any persons working there or within the parent organisation (including disciplinary issues).  | <b>X</b> | <b>X</b> |
| 9. A child/young person living at the provision goes missing.  | <b>X</b> |          |
| 10. A child/young person living in the provision is involved in a self harm incident and/or an attempted suicide.  | <b>X</b> |          |
| 11. A child looked after aged 16 or 17, a care leaver aged 16 or 17, or a vulnerable 16 or 17 year old living in the provision fails to attend a specialist or significant appointment, i.e. CAMHS, GP, Court etc. | <b>X</b> |          |

NB. A 'Notification' should occur where a situation arises that puts a child aged 16 & 17 (or care leaver aged 16 & 17) at risk or potential risk.

**23. Was the GP called?      Yes / No / not applicable (please circle)**

**24. Name of GP**

**25. Date**

**26. Time: (24 hr clock )**

**27. Were the emergency services called? Yes / No / not applicable (please circle)**

**28. Type of Service Called**

**29. Date**

**30. Time: (24 hr clock)**

<b>31. Person Completing the Form</b>	
<b>Signed Electronic Signature</b>	<b>Print name</b>
<b>Job Title</b>	<b>Date</b>
	<b>Time</b>

## EVENTS AND NOTIFICATION - OUTCOMES AND ACTIONS FORM

To be completed by the ART Team and the Accommodation/Support Provider setting out the outcome of the 'Notifiable' Event and resultant actions.

Private Providers

### OUTCOMES AND FUTURE ACTIONS

**Name of Accommodation Unit**

**Full Address of Accommodation Unit**

**Name and Full Address of Provider Organisation**  
**Email Address**

#### **1. Summary of Incident**

#### **2. Outcome of incident**

**3. Actions to prevent further occurrence**

Highlight any specific actions taken by:

1. Case Holding Team
  
2. ART
  
3. Commissioning Team
  
4. Accommodation/Support Provider

**Signed**  
**Electronic Signature**

**Print name**

**Job Title**

**Date**

**Time**

To be completed by the ART Team and the Accommodation/Support Provider setting out the outcome of the 'Notifiable' Event and resultant actions.

## EVENTS AND NOTIFICATION - OUTCOMES AND ACTIONS FORM

To be completed by the ART Team and the Accommodation/Support Provider setting out the outcome of the 'Notifiable' Event and resultant actions.

Registered Social Landlord Providers

### OUTCOMES AND FUTURE ACTIONS

**Name of Accommodation Unit**

**Full Address of Accommodation Unit**

**Name and Full Address of Provider Organisation**  
**Email Address**

#### **1. Summary of Incident**

#### **2. Outcome of incident**

**3. Actions to prevent further occurrence**

Highlight any specific actions taken by:

1. Case Holding Team
  
2. ART
  
3. Commissioning Team
  
4. Accommodation/Support Provider

**Signed**  
**Electronic Signature**

**Print name**

**Job Title**

**Date**

**Time**

To be completed by the ART Team and the Accommodation/Support Provider setting out the outcome of the 'Notifiable' Event and resultant actions.

## APPENDIX EIGHT

### Provider Policy Document Requirements - Inspections

Provider Documents Required 28 days in Advance of the Inspection

Visit:

- Buildings insurance;
- Contents insurance;
- Employers insurance;
- Public liability insurance;
- Professional indemnity insurance;
- Managing risk and different levels of need policy;
- Managing client information policy;
- Managing referrals policy;
- Health and safety policy;
- Notifiable events policy;
- Case recording policy;
- Safer recruitment policy;
- Staffing and supervision policy;
- Staff skills and training policy;
- Safer caring policy;
- Staff personal information policy;
- Boundaries and confidentiality policy;
- Equality and diversity policy;
- Policies to meet cultural and linguistic needs of young people;
- Transporting policy;
- Policy on the use of public transport and undertaking visits with young people;
- Anti-smoking policy;
- Anti-bullying policy;
- Anti-substance misuse policy;
- Health care policy (promoting health awareness);
- Policy on how young people can access their information and files;
- Missing policy and procedures framework;
- Preparation for independence policy;
- Compliments, comments and complaints policy;
- Current staff list with qualifications;
- 3 months staff rotas;
- Safeguarding children and young people – documented procedure for dealing with allegations of abuse;
- Promoting family contact policy;
- Whistle blowing policy;
- Admissions and exclusions policy;
- Challenging behaviour and/or risk management policy;
- Safety guidance for leisure activities/on/off site activities;
- Medication policy;
- Health and safety policy.

#### Documents Required During Inspection Visit:

- Professional indemnity insurance for therapeutic service professionals and copies of professional qualifications/registration with professional body;
- Vehicle insurance - for organisation's own vehicles;
- Vehicle insurance - evidence of checks when employees use their own vehicles;
- Vehicle documents - evidence of checks for suitability of staff transporting children and young people (MOT, etc);
- Staff files spot checks – (Random) - ensure that staff have agreed that LA officers can access these files;
- Staff induction/probation/appraisal – induction programme, staff handbook and performance management system;
- Staff training – evidence that staff are trained and qualified to deliver the service expressed in the statement of purpose;
- Safeguarding children and young people - copy of local safeguarding children board procedures and handbook;
- Complaints procedure – complaints recording system;
- Admissions, planning and reviews – evidence of planning and review procedures (care plans, placement plans, pathway plans, IEP's, personal education plans, health plans, transition plans);
- Evidence of gaining the views of children/young people/parents;
- Evidence of statement of special educational needs and annual reviews being sent to placing local authority;
- Positive management of behaviour – recording system for incidents requiring control and restraint;
- Evidence of regular staff training;
- Leisure activities - sample risk assessments for on and off site leisure activities;
- Health & safety - property – to include fire safety, first aid, accident recording, security, gas/electricity and water checks.



## APPENDIX NINE

Young Person's Case File Inspection Checklist
---

A case file must be set up for each young person and contain the following information:

File Content	Yes/No	Comment
Basic and Essential Information		
Referral Form		
Individual Placement Contract		
Placement Plans, Care Plans and Pathway Plans		
Health Information and Health Plans		
Risk Management Plans		
Personal Education Plans and Education, Training and Employment Activities		
All Plans received prior to placement start		
Evidence that outcomes identified in plans are clearly set out and regularly monitored		
Letters		
Finance Information		
Supervision Actions		
Case Recording		
Key work Sessions		
Preparation for Independence and the Transition to Adulthood - Life Skills Work		

APPENDIX TEN

Recruitment, Vetting and Staff File Inspection

Checklist

Organisation:

Date:

File Section	Yes/No	Comments
<p>Fully completed signed and dated application form employment with CV.                      A personal interview.                      Verification of gaps in employment record by Appointing Officer.                      Photographic evidence of identity.                      Checks to confirm the right to work in the UK Evidence of current address – signed and verified – These must be current/valid and/or less than 6 months old.                      A new valid DBS enhanced disclosure – organisation to retain a record of the unique reference number, the outcome of the check including the date the check was completed.                      Evidence of further checks where the member of staff has not always been resident in the UK;</p>		
<p>Expectation that the Provider conforms to HCC standards by re checking enhanced DBS disclosures every 3 years.                      Two written references on official/headed paper where applicable, the references should be checked and confirmed by a phone call from the provider and the reference signed and dated with the confirmation information.                      All references to be verified by a follow up telephone call which should be dated and signed by Appointing Officer.                      Copies of all relevant qualifications.                      Start date and personal contact information.                      Evidence of risk assessment and risk evaluation when an enhanced DBS check highlights ‘trace’.                      Contract of Employment.                      Induction programme – completion of modules to be signed off and dated as an accurate record.                      Training record with the Provider (matrix setting out the courses that each member of staff has completed and the frequency that courses should be repeated). Supervision notes:</p>		
<ul style="list-style-type: none"> <li>• Supervision notes relating to the workers</li> </ul>		

should be retained on the staff file;

- Supervision notes and actions relating to individual young people should be placed in the young person's file.

Record of sickness, leave, disciplinary issues. Where a staff member is promoted within the organisation, evidence of application, interview and a new contract should be present.