



CUMBRIA
COMMUNITY FOUNDATION

Safeguarding Policy

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1. PURPOSE AND SCOPE

1.1 Cumbria Community Foundation (CCF) is committed to protecting people from risk of harm within our organisation and indirectly those we fund. The purpose of this policy is to set out CCF's approach to, and responsibilities for, safeguarding. It applies to all employees, trustees (directors) and volunteers (including committee co-optees and grant panel members).

This policy should be read in conjunction with the Foundation's policies and procedures on recruitment, conduct, health and safety, risk, equal opportunities, dignity at work, whistleblowing and guidelines on engaging with donors in vulnerable circumstances.

2. DEFINITIONS

2.1 Safeguarding means protecting people's health, wellbeing and rights so that everyone – can live free from abuse, harm and neglect. Safeguarding is covered by legislation and related regulations (See Appendix A).

2.2 Safeguarding risks include, but are not limited to: physical, emotional or financial abuse; sexual harassment; negligent treatment; bullying or harassment; commercial exploitation; extremism and radicalisation; forced marriage; child trafficking; modern slavery, discrimination on any of the grounds in the Equality Act 2010.

2.3 Safeguarding concerns for CCF could arise in relation to:

- organisations applying for or receiving funding;
- children or adults at risk applying for or receiving individual grants;
- members, donors, potential donors, fundholders or potential fundholders;
- those on work experience or apprentices;
- event participants or attendees;
- employees, volunteers and trustees.

2.4 Safeguarding includes specific protections for those who are at particular risk of harm or abuse. This includes children and adults at risk. A child is anyone under the age of 18. An adult at risk is any person who is aged 18 years or over and at risk of abuse or neglect because of their needs for care and or support, regardless of whether these needs are being met by a local authority.

3. PRINCIPLES

3.1 In line with Charity Commission guidance, safeguarding those who come into contact with the Foundation is a governance priority and forms a fundamental part of operating as a charity for the public benefit.

3.2 We are responsible for safeguarding our staff, trustees and volunteers and aim to create a safe environment for all those working or volunteering on our behalf.

3.3 We take steps to ensure that every organisation we fund has in place adequate safeguarding policies and procedures, whether or not they are a charity. We take a proportional approach that recognises the differing levels of safeguarding risk in the work we fund.

4. ROLES & RESPONSIBILITIES

4.1 Safeguarding is everyone's responsibility. All CCF staff, trustees and volunteers are responsible for implementing the safeguarding measures set out in this policy, including reporting all concerns of harm and abuse.

4.2 Overall responsibility for safeguarding lies with CCF's Board of trustees. To ensure that Trustees have oversight of safeguarding across the Foundation:

- There is a Designated Trustee for Safeguarding who is responsible for championing safeguarding at Board level. Designated Trustee is **John Wilson**
- All trustees and committee members receive a briefing on safeguarding
- Safeguarding is a standing agenda item for trustee meetings
- The Designated Trustee is informed of all safeguarding incidents involving CCF staff and volunteers and provides oversight to ensure that all concerns are taken seriously and managed appropriately.
- The Designated Trustee is responsible for ensuring serious incidents are reported to the Charity Commission, although the actual reporting may be delegated to the Designated Safeguarding Lead.
- Any decision to suspend or terminate funding due to safeguarding concerns must be approved by the Chair of the Main Grants Committee in conjunction with the Chair of Trustees and Designated Trustee for Safeguarding.
- Safeguarding is included in the organisational risk register which is reviewed by trustees annually.

4.3 The Senior Leadership Team (SLT) is responsible for actively promoting safeguarding within day-to-day operations and role modelling best practice. Led by the Chief Executive, the SLT will:

- Promote awareness of safeguarding within their own areas of operation
- Maintain an overview of safeguarding within CCF through the updates provided at the SLT meetings which reviewing actions taken in response to safeguarding concern.
- Ensure the Designated Safeguarding Lead has appropriate resources and support to fulfil their safeguarding responsibilities.
- The Chief Executive or Finance Director will cover for the Designated Safeguarding Lead if they are unavailable.

4.4 CCF's **Designated Safeguarding Lead (DSL)** has operational responsibility for safeguarding. The DSL is **Jenny Benson, Director of Programmes & Partnerships**. This includes:

- Ensuring all staff and volunteers are aware of their safeguarding responsibilities and providing advice and support on implementation of safeguarding measures.
- Ensuring trustees and staff have access to appropriate training relevant to their roles and responsibilities.
- Acting as the first point of contact for safeguarding concerns and ensuring these are discussed, recorded and dealt with appropriately, including making referrals to the appropriate statutory agencies.
- Ensuring CCF's Safeguarding Policy is reviewed and updated on an annual basis.

5. SAFEGUARDING AND GRANT MAKING TO ORGANISATIONS

5.1 The Charity Commission safeguarding and protecting people guidance¹ states that ‘protecting people and safeguarding responsibilities should be a governance priority for all charities.’ CCF have adopted the Charity Commission requirements as a framework to guide our approach to safeguarding. For registered charities, we hope that this reduces confusion and duplication by ensuring consistency between funder and regulatory requirements. For organisations who are not registered charities, we hope that aligning our expectations with the Charity Commission will help build their awareness of agreed best practice and assist them in strengthening their approach.

CCF’s safeguarding requirements are made clear to applicant’s when they apply and form part of the grant terms and conditions.

5.2 Safeguarding Assessments and Due Diligence

CCF takes the safeguarding of children and adults at risk seriously and we expect organisations applying for our funding to have a safeguarding policy which is up-to-date and relevant to their work and the beneficiaries they serve. In line with Charity Commission requirements, CCF requires all applicants to demonstrate:

- **Policies & Practices:** Appropriate policies and practices are in place to keep people safe.
- **Reporting & Response:** There are accessible channels for raising safeguarding concerns and a clear system for responding, including reporting concerns to relevant authorities.
- **Human Resources:** Steps are taken to ensure people are suitable to act in their roles and everyone is aware of their safeguarding responsibilities
- **Governance & Accountability:** There is clear accountability and oversight to ensure everyone connected with the charity is protected from harm.

For organisations working directly with children and/or adults at risk, CCF will review the applicant’s safeguarding policies and procedures and may have a follow up discussion with the applicant to understand how they put these policies into practice (Appendix B).

5.3 Monitoring & Support

Our grant terms and conditions require grantees:

- Ensure safeguarding policies and practices are implemented
- All safeguarding concerns reported to the organisation are taken seriously and appropriate action taken

We try to encourage best practice among our grantees and if an organisation is awarded a grant, we may set some specific conditions on improving an organisation’s safeguarding policy and procedures as a condition of the grant. If this happens the organisation will be signposted to the appropriate guidance by the Grants & Programmes Officer. This may include signposting to relevant support organisations, training and other resources.

¹ The Charity Commission for England and Wales (2020) Guidance: Safeguarding and protecting people for charities and trustees. Available at: <https://www.gov.uk/guidance/safeguarding-duties-for-charity-trustees>

5.4 Reporting of Safeguarding Incidents

In line with Charity Commission guidance, all grantees are required to notify CCF of safeguarding incidents within their organisation. That is,

- Any allegations of harm, abuse or exploitation by staff, volunteers or other representatives of the grantee where the individual is employed by or participating in work funded by CCF.
- Breach or serious failure in safeguarding procedures which has resulted in significant harm or the risk of significant harm to those connected to the work funded by CCF.

We include this requirement as CCF has an obligation to ensure that the work we fund does not put people at risk of harm. Our role is to act as a critical friend to ensure appropriate action has been taken but responsibility for responding to the concern, including notifying relevant authorities, rests with the grantee and should be undertaken in line with the grantee's own safeguarding procedures.

Grantees should report any safeguarding incidents to their Grant & Programme Officer (GPO). The GPO will notify CCF's Designated Safeguarding Lead and seek guidance about what action is required.

Where CCF is satisfied that appropriate action has been taken, the GPO will simply thank the grantee for sharing details of the concern and record the incident on CCF's grant management system.

If further information is required, the GPO will call the relevant senior member of staff in the grantee organisation to discuss the action taken. Where appropriate, the GPO may visit the grantee to allow a more detailed discussion to take place.

In responding to safeguarding incidents, CCF aims to respect the confidentiality of everyone involved. We will not ask the grantee to share any identifying details (names, addresses etc).

Our aim is always to support our grantees to respond appropriately to safeguarding incidents and strengthen their safeguarding based on any learning which emerges. However, if a grantee is unable or unwilling to respond appropriately to safeguarding concerns, we may suspend existing funding and/or pause considering any application for future funding until improvements are made. Any decision regarding funding will be taken by the Designated Safeguarding Lead in collaboration with the Designated Trustee for Safeguarding and the Chair of the Grants Committee.

6. SAFEGUARDING AND GRANTMAKING TO INDIVIDUALS

6.1 CCF has funds which award grants to individuals. The grants are largely aimed at enabling individuals to pay for specific costs (e.g. cost of education and training, cost of insurance or repairs for those affected by floods) rather than the delivery of activities or services and as such, the level of safeguarding risk is low.

However, where the recipient is a child under the age of 18 or an adult at risk, CCF puts the following safeguards in place:

- The individual must be referred or supported by an appropriate adult (e.g. parent, guardian, carer or representative of statutory bodies).

- CCF will contact the appropriate adult to discuss the application. This discussion will include consideration of the individual's safety in relation to the proposed use of the grant.
- In a few cases, CCF staff may contact the child or adult at risk by telephone to assess their application. This will always be agreed with the appropriate adult in advance and, wherever possible, they will be present to support the individual during the call.
- For transparency, any contact with a child or adult at risk must be reported to the staff member's line manager and details of the discussion will be documented on CCF's grant management system.

7. RECRUITMENT & SUPPORT TO CCF STAFF AND VOLUNTEERS

CCF aims to ensure that staff and volunteers are suitable for their roles and do not pose a risk to others through safer recruitment practices as well as supervision and training once individuals join the Foundation.

7.1 Recruitment

- A job description and person specification are prepared for all posts and applicants are shortlisted and interviewed to check their suitability against these criteria.
- Prior to interview, all candidates are made aware of CCF's commitment to safeguarding and asked to read CCF's safeguarding policy which is posted on the foundation's website.
- Before finalising an offer, CCF require two satisfactory references, one of which must be from a previous line manager/employer. CCF obtains verbal references as this provides an opportunity to seek clarification regarding the candidate's skills, competencies, attitudes and general conduct.
- Applicants are asked to declare whether they have any unspent convictions as part of the application process. CCF may obtain DBS checks based on an assessment of risk and eligibility of role using the government online tool (<https://www.gov.uk/find-out-dbs-check>).

For further details, please refer to CCF's [Staff Recruitment Policy](#), [Assessment of CCF Employee and Volunteer Roles for DBS checks](#) and Equal Opportunities Policy which includes CCF's statement on the recruitment of ex-offenders

7.2 Post-Appointment

- All contracts require compliance with CCF's policies, which includes CCF's Safeguarding Policy and Code of Conduct.
- Safeguarding is included as part of CCF's induction checklist, and all new staff are required to read and sign CCF's Safeguarding Policy.
- All new staff are subject to a probationary period in which their performance, including compliance with policies and general conduct, is assessed.
- All staff are provided with refresher training following CCF's annual review of their Safeguarding Policy.
- Additional role-specific training is provided to grant assessors and staff with designated responsibility for safeguarding.

7.3 Trustees and Volunteers

Similar safeguards will be implemented as required for Trustees and volunteers where they undertake specific roles that require access to sensitive information and/or direct contact with vulnerable groups/people.

7.4 Training and Ongoing Support

Training and ongoing support process for staff, trustees and volunteers will cover:

- Training on CCF's safeguarding policies and procedures (Internal):
 - Induction
 - Refresh (annually)
 - Specific training relevant to individual roles e.g. assessment of applicant safeguarding policies and procedures
- Additional training with respect to role of Designated Safeguarding Lead (external).
- The opportunity to discuss and share concerns at confidential team meetings and quarterly supervision.

8. CCF CODE OF CONDUCT

We expect all staff to abide by the following safeguarding code of conduct in all aspects of their work. Any breach of this Code of Conduct will be taken seriously and should be reported to the Designated Safeguarding Lead.

8.1 Professional Conduct

- Treat everyone with dignity & respect, working in an open, constructive and courteous manner.
- Do not discriminate based on age, disability, gender identity, relationship status, maternity, race, religion or belief, sex or sexual orientation
- Do not condone or tolerate any form of harassment, bullying or intimidation, whether engaged in by employees or by outside third parties such as contractors, suppliers or clients.
- Do not use CCF equipment to log on to sexually explicit websites or download and/or circulate pornography or other offensive, illegal or obscene material.
- When using social media websites, do not make derogatory, offensive, discriminatory, or defamatory comments.
- Do not engage in or condone behaviour that could bring the organisation into disrepute, recognising that both your personal and professional conduct can damage CCF's reputation.
- Where you feel comfortable and able, challenge inappropriate conduct directly but always report any inappropriate conduct to your line manager or Designated Safeguarding Lead.

8.2 Direct Contact

- All visits to funded organisations or CCF's donors must be by appointment and with the prior knowledge of CCF.
- Be aware of your own personal security and safety and follow the guidance in CCF's lone worker policy at all times.
- As far as practicable never be left alone with children or adults at risk when visiting an organisation, donor or attending an event.
- Never engage in inappropriate relationships with service users you meet when visiting CCF funded programmes as the inherent power imbalance is open to exploitation and abuse.

8.3 Management of Personal Data

- Never share personal information or data about CCF's employees, clients, customers, contractors or suppliers without their express consent.
- Do not share photographs or personal information about service users or donors on personal social media accounts or other online platforms.
- Only take photos and/or video where consent has been obtained.
- Follow CCF's data protection policies and procedures when handling personal information.

9. DIRECT CONTACT WITH CHILDREN OR ADULTS AT RISK

CCF staff may have direct contact with children and adults at risk when running events and meetings, visiting funded organisations or when meeting with potential donors and fundholders. The level of risk will vary depending on the context in which the interaction is taking place, the specific activities which are planned and the dynamics in the relationship between CCF and the individual. Although CCF's Code of Conduct must be followed at all times, specific safeguards must be followed depending on the type of contact that is planned.

9.1 CCF Events and Meetings

- CCF will take reasonable steps to ensure we know who is attending any event or meeting in advance
- Where required a risk assessment will be undertaken to identify potential risks of harm and decide what reasonable steps must be taken to prevent that harm from occurring.
- Children and adults at risk must be accompanied by an appropriate adult (representative of an organisation, a family member or carer) who will be responsible for their supervision and support throughout the event or meeting.
- If CCF is aware that children and/or adults at risk are attending an online event, this will be considered within the risk assessment and appropriate safeguards put in place.
- CCF staff will not be left in sole contact with children or adults at risk and will refuse to do so if asked. This includes refusing to transport children or adults at risk without another adult present. In exceptional circumstances, where transporting children or adults at risk is necessary due to an emergency or to ensure the welfare of the individual, CCF staff will always inform their line manager as soon as practically possible.
- CCF will obtain consent to share images or cases studies. Where the individual is present at the event or meeting, CCF will check that they are comfortable for their image or story to be shared at that time.
- Where CCF plans to record, film or take photographs during an event or meeting, CCF will make participants aware in advance through including information in the invitation, joining information or signage at the event. It should be clear that by joining the event, participants are consenting to CCF obtaining and using their image.

9.2 Visits to CCF Funded Programmes

- All visits must be by appointment and with the prior knowledge of CCF and the grantee partner.
- Whenever the visit includes direct contact with children or adults at risk, CCF staff must check whether the organisation has any specific safeguarding measures which should be followed and will always adhere to the guidance provided by staff. Where standards shared are below those of CCF Code of Conduct or this document; individuals must always follow the higher standard.

- CCF staff and volunteers will not be left in sole contact with children or adults at risk and will refuse to do so if asked.
- CCF staff and volunteers will not request or share personal contact details with service users of CCF funded programmes, or connect with them by telephone, letter, e-mail or social media.
- If CCF plans to take photographs during the visit, then consent will be obtained.

9.3 Fundraising

- All CCF staff who are in contact with children or adults at risk must be aware of and follow CCF's Guidelines on Engaging with Donors in Vulnerable Circumstances (Appendix C). This includes details of how to identify donors in vulnerable circumstances.
- All visits by CCF staff to CCF's donors must be by appointment and noted in the CCF staff member's Outlook calendar.
- A risk assessment is completed by the person organising fundraising and other events and activities, usually the Development Assistant.
- Where an event or fundraising activity involves contact with children or adults at risk, the risk assessment will include specific consideration of the potential risks of harm to children or adults at risk and decide what reasonable steps must be taken to prevent that harm from occurring.

10. REPORTING & RESPONSE TO SAFEGUARDING CONCERNS

In the course of our work, CCF may become aware of other safeguarding concerns that are not related to the work of our grantee partners. This may include:

- an allegation of misconduct against a CCF trustee, employee or volunteer is reported to us;
- an individual (e.g. an employee, a trustee, a volunteer, a donor or a beneficiary of a grantee) discloses a concern about themselves; or
- we observe something of concern ourselves.

In any of these circumstances, the person who first becomes aware of the safeguarding concern must respond appropriately and report the concern to the CCF Designated Safeguarding Lead.

10.1 Reporting Safeguarding Concerns

If you become aware of any safeguarding concerns:

- Listen and provide re-assurance to the individual.
- Clarify the basic facts but do not investigate or try to address the concerns yourself.
- Never agree to keep secrets. All staff and volunteers are required to report any concerns of harm, abuse or exploitation to the relevant staff in CCF.
- Inform CCF's Designated Safeguarding Lead (DSL) as soon as is reasonably possible

Contact Details:

1. CCF Designated Safeguarding Lead (DSL)		
Jenny Benson	Director of Partnerships & Programmes	Tel: 01900 829376 Email: jenny@cumbriafoundation.org
If you are unable to contact the DSL, or the safeguarding concern relates to them, you should contact another member of the SLT or the Designated Trustee for Safeguarding.		
2. CCF Senior Leadership Team (SLT)		
Andy Beeforth	Chief Executive	Tel: 07740428947
Helen Mackman	Finance Director	Tel: 01900 820829
Nicci Pitchford	Head of Development	Tel: 01900 820820
3. CCF Designated Trustee for Safeguarding		
John Wilson	Trustee	Tel: 07710 499648

10.2 CCF's Response to Safeguarding Concerns

The DSL is responsible for ensuring all concerns are taken seriously and appropriate action taken.

This will include, but is not limited to:

- Referring the case to the relevant authorities in line with UK laws and regulations.
- Liaising fully with actions and/or investigations initiated by statutory agencies
- Providing support to any CCF staff and volunteers who may have been affected, including the person reporting the concern.
- Maintaining a confidential record of the concern and any actions taken.

Where concerns relate to the conduct of CCF staff and volunteers:

- The DSL will inform the Chief Executive and Designated Trustee for Safeguarding immediately. The Chief Executive and Designated Trustee will provide support and oversight to ensure the concern is responded to in line with CCF procedures and best practice.
- The concern will be raised with CCF's Personnel Committee who will ensure that appropriate action is taken in line with CCF disciplinary and other procedures. Independent legal advice may be sought where appropriate.
- The individual may be suspended while an investigation is conducted. This is not an assumption of guilt but may be necessary to ensure the protection of everyone involved.
- The Designated Trustee for Safeguarding is responsible for ensuring that a serious incident report is submitted in line with Charity Commission requirements.

To ensure accountability for our management of safeguarding concerns and encourage learning, the Designated Trustee for Safeguarding will report any incidents to the next Trustee meeting.

If you believe that the CCF has failed to take appropriate action in relation to safeguarding concerns, you can report these concerns to Designated Trustee for Safeguarding or another member of the Trustee Board. Alternatively, concerns can be raised via CCF's whistleblowing procedure [..\Whistle Blowing Policy v1.pdf](#)

11. Monitoring and review

The Foundation will monitor the effectiveness of this policy regularly to ensure its suitability, adequacy and effectiveness. Any improvements identified will be made as soon as possible. The policy will be reviewed annually.

12. APPENDICES

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APPENDIX A: LEGAL CONTEXT AND USEFUL RESOURCES

1. Duties under Charity Law

CCF is regulated by the Charity Commission for England and Wales. We have duties under the [Charities Act 2011](#) and our duties seek to comply with their duties as summarised in [CC3: The essential trustee: what you need to know, what you need to do](#).

In developing this policy, we recognise the specific duties set out by the Charity Commission [for safeguarding and protecting people](#) and [protecting charities from abuse for extremist purposes](#). As a Funder we also recognise the specific responsibilities the Charity Commission establishes on funders to carry out [due diligence checks on donors, beneficiaries and local partners and how to monitor end use of funds](#).

2. Legislative Framework for Safeguarding

This policy and any associated procedures and guidance were developed with reference to key domestic legislation to safeguard and promote the welfare of children and adults at risk of harm affected by our work.

Children	Adults at Risk
The Children Act 1989 & 2004 , the Protection of Children Act 1999 and the Safeguarding Vulnerable Groups Act 2006 , Working Together to Safeguard Children (2018) and Keeping Children Safe in Education (2021)	Care Act 2014 and the Care and support statutory guidance (2020) and Mental Capacity Act 2005 ,
The Counter-Terrorism and Security Act 2015 , Domestic Abuse Act 2021 .	

3. Useful Safeguarding Resources

[Funder Safeguarding Collaborative](#) offers members access to webinars, resources, training and capacity building tailored to the needs of funding organisations. CCF is a member of the Funder Safeguarding Collaborative (FSC) and staff can access resources via FSC intranet or requesting advice via the CCF's Safeguarding Lead.

[NVCO](#) offer a range of safeguarding know-how guidance, training and links to national and local organisations who provide safeguarding support. Resources are aimed at voluntary organisations, small groups, organisations and charities working in the UK.

[NSPCC](#) offer best practice guidance, policy templates, checklists, training as well as research and policy updates on safeguarding. Resources are aimed at a wider range of small organisations working with children in the UK.

[Ann Craft Trust](#) offers resources to assist organisations in safeguarding young people and adults at risk. Resources are aimed at a wider range of small organisations working with adults in the UK.

[Hourglass](#) offers information relating to the harm, abuse and exploitation of older people in the UK.

[Catalyst](#) offers a selection of information on safer working online. Resources are aimed at voluntary organisations, small groups, organisations and charities working in the UK.

4. Local Resources for Cumbria

[Cumbria Local Safeguarding Children Partnership](#) responsible for ensuring agencies work together to safeguard children and for testing how effectively this happens. Provides support for local safeguarding arrangements by delivering training, auditing, publishing learning, publishing procedures, undertaking reviews etc.

[Cumbria Local Safeguarding Adults Board](#) provides support for organisations and practitioners designed to enhance best practice for training and ensure staff access training relevant to their role in safeguarding adults at risk of abuse or neglect.

Reporting Safeguarding Concerns:

[Local Authority Designated Officer](#) - concerns regarding someone who works with a child including foster carers and volunteers these should be reported to the **Local Authority Designated Officer** (LADO). This applies to all paid, unpaid, volunteers, casual, agency employees or anyone working in a self-employed capacity. These individuals are considered working/volunteering in positions of trust.

From 1st April 2023:

- If you are concerned about a child in Allerdale, Carlisle or Copeland you will contact the Cumberland Safeguarding Hub. Telephone Number – 0333 240 1727. Email: safeguarding.hub@cumberland.gov.uk
- If you are concerned about a child in Barrow, Eden or South Lakeland, you will contact the Westmorland and Furness Safeguarding Hub. Telephone Number – 0300 373 2724. Email: – safeguarding.hub@westmorlandandfurness.gov.uk

Concerns regarding an adult who is being abused or neglected should be reported to Adult Social Care:

- [Adult Social Care - Keeping safe | Cumberland Council](#):
 - Telephone: 0300 373 3732
 - Out of Hours Emergency Duty Team: 01228 526690.
 - Email: customerservicesASC@cumberland.gov.uk
- [Adult Social Care - Keeping safe | Westmorland and Furness Council](#)
 - Telephone: 0300 373 3301
 - Out of Hours Emergency Duty Team: 01228 526690
 - Email: customerservicesASC@westmorlandandfurness.gov.uk

APPENDIX B: GRANT MAKING - SAFEGUARDING ASSESSMENT CRITERIA

Assessment Criteria	Appropriate policies and practices are in place to keep people safe.
Why we include this	Policies and procedures provide guidance to staff and volunteers on how to keep people safe and help ensure consistency across the organisation.
How we assess this	All applicants are asked to submit a copy of their safeguarding policies and procedures.
What we want to see	<ul style="list-style-type: none"> • The applicant has a safeguarding policy, which includes a definition of safeguarding and outline of the organisation’s commitment to safeguard and protect the welfare of all who use its services. • It should include the definitions for adults at risk and types of abuse experienced by children and adults at risk. • The policy includes clear guidelines on expected behaviours when interacting with children or adults at risk • The policy is reviewed annually – it states when the policy was adopted or when it will next be updated
Meeting Requirements	<p>All applicants are expected to have an adequate safeguarding policy in place if they are to be recommended for funding.</p> <p>If an applicant’s safeguarding policy does not meet our requirements, they will be asked to update their policy and procedures as a condition of their funding award.</p>

Assessment Criteria	There are accessible channels for raising safeguarding concerns and a clear system for responding, including reporting concerns to relevant authorities.
Why we include this	Harm and abuse can occur in any organisation. It is important that everyone knows who to talk to if they are worried about someone’s safety and that there are clear steps which will be followed to ensure that action is taken to keep everyone safe.
How we assess this	<p>Safeguarding policies are reviewed to ensure they include appropriate procedures for the reporting and response to safeguarding concerns.</p> <p>In addition, the Grant & Programmes Officer will discuss how the organisation manages safeguarding concerns as part of the application process. The applicant will be asked to describe how staff and beneficiaries can raise safeguarding concerns and what action organisation would take in response.</p>
What we want to see	<ul style="list-style-type: none"> • Clear procedure for reporting and responding to concerns. This may include a flowchart of steps to be followed. • Training or other steps to ensure that everyone knows how to spot abuse and report concerns. • Name and contact details of who to report to. • Steps outlining how they would respond to concerns, including managing allegations against a staff member, freelancer or a volunteer. • How they would report them to relevant authorities (it should include contact details of relevant agencies).

Meeting Requirements	<p>All applicants are expected to have a clear procedure for reporting and responding to safeguarding concerns. If an applicant is unable to explain how they would manage a safeguarding concern, they may not be recommended for funding or they will be asked to update their policy and procedures as a condition of any funding award.</p> <p>If the procedure is not clearly documented, the organisation may be recommended for funding but will be required to strengthen or update their reporting and response procedures as a condition of funding.</p>
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Assessment Criteria	Steps are taken to ensure people are suitable to act in their roles and everyone is aware of their safeguarding responsibilities
Why we include this	Organisations are only as safe as the people who work within them. Vetting reduces the risk of recruiting staff, volunteers and freelancers who pose a risk to others while training and support ensures people are able to fulfil their safeguarding responsibilities.
How we assess this	<p>Safeguarding policies are reviewed to understand the organisation's approach to recruitment, training and support.</p> <p>We recognise that some organisations may not include details about recruitment and training in their safeguarding policies. Where this information cannot be obtained by reviewing the policy, the Grant & Programmes Officer will discuss this with the applicant as part of the assessment process and seek documentary evidence (e.g., a separate Safer Recruitment policy).</p>
What we want to see	<ul style="list-style-type: none"> • All staff and volunteers are made aware of the organisation's safeguarding policies and procedures and understand their responsibility to keep people safe as part of their induction • Staff and volunteers who are interacting with children or adults at risk are provided with regular training on safeguarding relevant to their role. • Trustees receive a training/briefing on safeguarding to ensure they understand their duty in providing a safe service • If organisations are working with children/adults at risk, staff & volunteers should receive regular training on safeguarding from suitably qualified/experienced individual <p>Where the organisation is applying for funding to cover roles working directly with children or adults at risk, the organisation must:</p> <ul style="list-style-type: none"> • Complete an application form or submit a CV • Interview each person to assess their suitability • Require a minimum of two references • Conduct the appropriate level of DBS checks – this will depend on the level of contact with children and adults at risk.
Meeting Requirements	<p>All applicants must have clear processes in place to make staff aware of their safeguarding responsibilities. Organisations will be required to document this within their safeguarding policy.</p> <p>Organisations applying for funding to cover roles working directly with children or adults at risk, must have appropriate vetting procedures in place and these must be documented in their safeguarding policy and/or HR policies.</p>

Assessment Criteria	There is clear accountability and oversight to ensure everyone connected with the charity is protected from harm.
Why we include this	To be effective, it should be clear that safeguarding is the responsibility of all staff, trustees and volunteers; safeguarding cannot be the sole responsibility of individual staff but must be promoted and supported by those in leadership positions including trustees.
How we assess this	The Grant & Programmes Officer will ask the applicant to provide documentary evidence and explain who has responsibility for safeguarding and how these individuals ensure the implementation of safeguarding, including the management of safeguarding concerns.
What we want to see	<ul style="list-style-type: none"> • Safeguarding is monitored and supported by Trustees and senior management. • The organisation has an appropriately trained designated safeguarding lead (DSL) or equivalent. It is good practice for this to be a senior member of staff so they have authority to implement & influence practice. • It is good practice to have a nominated trustee on the Board for safeguarding
Meeting Requirements	All applicants must have a designated safeguarding lead. Where organisations do not have clearly defined responsibilities, and appropriate training for trustees, staff and volunteers, they will be required to implement these as a condition of funding.

APPENDIX C: CCF'S GUIDELINES ON ENGAGING WITH DONORS IN VULNERABLE CIRCUMSTANCES

1. About these guidelines

- 1.1. CCF staff must not exploit the trust, lack of knowledge, apparent need for care and support or vulnerable circumstance of any donor at any time. Following these guidelines will ensure that we remain respectful, responsive, fair and accountable in our interactions.
- 1.2. These guidelines apply to CCF staff who come into contact with people aged 18 and over who may be in vulnerable circumstance or who may not have the mental capacity to make a decision to donate.²
- 1.3. This guidance applies:
 - when speaking directly with prospective donors and fundholders
 - following receipt of unsolicited gifts and it is suspected or identified that the donor was in a vulnerable circumstance, or they did not have the mental capacity to make the donation at the time the donation was made.
- 1.4 CCF staff should read these guidelines and be confident of their application and the appropriate action to take. If you have any questions or concerns about applying these guidelines, please speak to the Designated Safeguarding Lead.

2. Respectful and accountable interaction with all donors

- 2.1. To ensure that our interactions are respectful, responsive, fair and accountable, CCF staff will follow certain steps when interacting with **all** donors.
- 2.2. When discussing donations, fund set up etc, we will make clear that we are not able to offer financial advice.
- 2.3. At any point, if an individual states that they do not want to be contacted again, or not through a particular method, then those wishes should be respected and recorded on the CCF donor database.
- 2.4. All interactions with donors should be recorded in line with CCF's Privacy and Data Protection Policy.

3. Understanding mental capacity and vulnerable circumstances

- 3.1 Additional care must be taken not to exploit the trust, lack of knowledge, apparent need for care and support or vulnerable circumstance of any donor. In order to achieve this, it is important that CCF staff understand the distinction between an individual lacking the capacity to make a decision and someone who has the capacity to make a decision but may be vulnerable at that moment in time.
- 3.2 **Mental capacity** is the ability to make and communicate a decision. There is a presumption that a person has capacity unless it is established that he or she lacks capacity. What some people may regard as an unwise decision is different from that person not having capacity to make that decision.

² The guidance is drawn from the Chartered Institute of Fundraising's 'Treating Donors Fairly' (2021 revision): <https://ciof.org.uk/treating-donors-fairly-update> and takes into account section 1.3 of the Fundraising Regulator's Code – Behaviour when fundraising <https://www.fundraisingregulator.org.uk/code/all-fundraising/behaviour-when-fundraising>

3.3 The Fundraising Regulator defines a **vulnerable circumstance** as:

'A state in which a person is especially susceptible to harm due to their personal circumstances. It is a state which can vary from day-to-day, which may affect the person's behaviour or decisions and needs a flexible response.'

3.4 All individuals may, at some stage in their life, be considered vulnerable due to their health, life events, stage of life etc. Individuals in a vulnerable circumstance can still have capacity to choose to donate to a charity (and people must not be discriminated against because of their age, or other protected characteristics).

3.5 For example, a recently bereaved person may need additional support, but this may change as time progresses. At the time of bereavement, they could still have the capacity to make a donation – and that donation may provide solace – but we need to consider that they might need additional time before making their decision.

3.6 The important distinction is whether the individual has a complete lack of capacity to make a decision, or whether they need more information and support to be able to make an informed decision to donate.

4. Identifying donors with vulnerable circumstances and without capacity to consent to give

4.1 CCF will not take a donation if we know, or have good reason to believe, that a person lacks capacity to make a decision to donate, or is in vulnerable circumstances which mean they may not be able to make an informed decision.

4.2 The role of CCF staff is not to reach a professional judgement about an individual's mental capacity or determine their level of vulnerability. Instead, our aim is to recognise signs of vulnerable circumstances in order that we can adapt our approach and put additional steps in place so we never exploit the trust, lack of knowledge or vulnerable circumstances of our donors.

4.3 **Factors to consider** when identifying donors with vulnerable circumstances or without capacity to consent, include:

- any physical or mental-health condition the person may have;
- any disability the person may have;
- any learning difficulties the person may have;
- whether the person is facing times of stress or anxiety (for example, following the death of a loved one or redundancy);
- whether a donation is likely to affect the person's ability to sufficiently care for themselves or leave them in financial hardship;
- how well the person can communicate and understand what they are being told; and
- whether the person is under the influence of alcohol or drugs.

4.4 Checklist to help **identify signs** that an individual may be in a vulnerable circumstance or without capacity to consent to give include:

- Asking irrelevant and unrelated questions, or displaying signs of forgetfulness
- Unable to read and understand the information they are provided with, and asking for it to be continually repeated
- Responding in an irrational way to simple questions
- Saying 'yes' or 'no' at times that it is clear they haven't understood
- Taking a long time or displaying difficulty in responding to simple questions or requests for information
- Repeating simple questions such as 'who are you', 'what charity is it' and 'what do you want'
- Wandering off the subject at hand and making incongruous statements

- Saying that they are not well or not in the mood to continue
- Displaying signs of ill-health like breathlessness or making signs of exasperation or discontent
- Giving a statement such as ‘I don’t usually do things like this, my husband /wife /son /daughter takes care of it for me’
- Indicating in any way that they are feeling rushed, flustered, or experiencing stress
- Having trouble remembering relevant information, for example that they are already a regular donor to that charity or have recently donated
- Donating an unexpectedly large gift with no prior relationship (Their being no prior relationship before a gift is made does not on its own constitute ‘vulnerability’, but it should be borne in mind that it could be an indicator of vulnerability.)

5. Engaging donors who may be in vulnerable circumstances or lack capacity to consent

- 5.1. CCF staff must only accept a donation where they are confident that the individual understands the transaction they are entering into.
- 5.2. Where CCF are concerned that an individual may lack capacity or be in vulnerable circumstances that affect their decision making, we will not take in any monies from them until additional actions have been put in place to ensure that we are responsive to the needs and situation of the individual.
- 5.3. CCF staff should speak to the person, ask about any support requirements they have, and take extra steps to provide any further information in a way that best suits the individual.
- 5.4. Adaptations may include:
 - providing information in an alternative format and/or with different terminology
 - reinforcing why you are communicating with them, the purpose of your role and whether they are happy to continue
 - delaying acceptance of the gift to give the donor further time to consider their donation;
 - including a ‘cooling off’ period if the donor changes his or her mind;
 - or suggesting the donor gets advice from family/friends.
- 5.5 The additional steps taken to ensure the level of understanding of the donor should be proportional to the size of donation. For example, giving a one-off donation of £50 requires a lower degree of understanding than a one-off donation of £10,000, which requires a more significant degree of understanding on the part of the donor.
- 5.6 If, after additional steps have been taken, CCF staff know, or have good reason to believe, that a person lacks capacity to make a decision to donate or is in significant vulnerable circumstances that mean they may not be able to make an informed decision, then the interaction should be stopped. A full note should be written of why the decision to stop the interaction was taken and recorded on D2 to inform any future contact (see section 7 below).
- 5.7 Care should be taken in order not to cause offence or upset the individual.
- 5.8 If we subsequently find that we have taken a donation from a donor while they do not have the capacity to make an informed decision, we will return the money to them.

6. Accessing Advice and Support

- 6.1 If at any time, CCF staff have any questions or concerns about applying these guidelines, they should speak to the Designated Safeguarding Lead to ask for further guidance.
- 6.2 In addition, if CCF believe that a donor is experiencing or at risk of harm, or that they pose a risk of harm to themselves or others, CCF’s safeguarding procedures should be followed and advice sought from the Designated Safeguarding Lead.

6.3 Finally, part of responding appropriately to individuals in vulnerable circumstance can be to let them know of charities or services which might help them and signposting to appropriate help, advice, or support wherever possible.

7. Maintaining records

- 7.1. All interactions with donors should be recorded in line with CCF's Privacy and Data Protection Policy.
- 7.2. CCF staff should record a factual record of their own experience of an interaction with a donor or prospective donor, but this should not be any assessment of the individual's condition or circumstance. For example, you may record "I found it difficult to understand the individual and they continually asked for the information to be repeated. Further discussion is recommended before accepting the donation" rather than "The individual appears to have signs of dementia and may not have capacity to consent to the donation".
- 7.3. CCF staff may only record information about the individual's physical and mental health conditions or any other sensitive personal data with the explicit consent of the individual. For example, where an existing donor tells you that they have been diagnosed with dementia and is happy for you to make a note of this.
- 7.4. Where we determine that we are unable to accept a donation due to concerns about the individual's vulnerable circumstances or capacity to consent, a note should be placed on the donor record regarding CCF's approach to accepting donations from them in the future.
- 7.5. It is important to recognise that an individual who may be vulnerable at one point in time may not be in that position later in their life. In these circumstances, a pragmatic and common-sense approach should be taken, and a note placed on the donor record stating that the person is not contacted again for a set term.
- 7.6. When contacting that individual in the future, extra care should be taken to ensure that the individual is content to be contacted and be alert for any signs of potential vulnerability.
- 7.7. CCF to include details of our approach to fundraising and measures taken to protect the public, including vulnerable donors, from undue pressure and unreasonably intrusive or persistent fundraising approaches, in our Trustee Annual Report. CCF will ensure that the reported information meets the requirements of the Fundraising Regulator³ as is informed by current reporting good practice.⁴

³ www.fundraisingregulator.org.uk/more-from-us/resources/charities-act-2016-fundraising-reporting-requirements-guidance

⁴ <https://www.ncvo.org.uk/help-and-guidance/safeguarding/>