Policy for ensuring the safeguarding of children and vulnerable/protected adults overseas for the International Development Office of the Open University

1. Context

1.1 The Open University is committed to ensuring a safe environment for all, free from abuse, neglect, exploitation and violence. The University’s Policy for ensuring the Safety of Children and Vulnerable/Protected Adults (Safeguarding Policy) sets out the Open University’s commitment to safeguarding children and vulnerable/protected adults in accordance with legislation in England, Wales and Northern Ireland and Scotland. It defines the responsibilities and processes to ensure risks are minimised, and where appropriate, dealt with in a robust manner. However, the University also delivers its social justice mission through the creation and implementation of large-scale development projects delivered and managed through its International Development Office (IDO) around the world.

1.2 This Safeguarding Policy for the IDO sets out the expectations for the Open University’s international development work overseas, responsibilities of staff and managers and the procedures that should be followed to ensure safeguarding standards are maintained across the OU’s work. It should be seen as supplementary guidance to the Open University’s Safeguarding Policy available here.

1.3 The IDO Safeguarding Policy applies to all representatives working for or on behalf of IDO, which design and implement the Open University’s international development projects and programmes overseas.

1.4 Failure to adhere to this policy by employees may result in disciplinary action. Failure to adhere to this policy by non-IDO employees will be raised with the employee’s manager and may result in not being able to participate in IDO-led projects.

2. Types and definitions of abuse

2.1 Abuse can take many forms including, but not limited to:
   - Physical abuse
   - Emotional abuse
   - Sexual abuse
   - Neglect

2.2 More detailed definitions of the different kinds of abuse are listed in Appendix A.

3. Recruitment

3.1 Building safe environments within organisations relies on the appointment of suitably qualified and skilled staff with the appropriate values, attitudes and approach to safeguarding.
3.2 The Open University will make all reasonable efforts, through its recruitment procedures, to ensure that all members of Open University staff, both full-time and part-time, paid and/or unpaid, whose role involves specific activity with vulnerable/protected groups are suitable for the position in line with Open University Safeguarding Policy and legislation requirements.

3.3 In addition to existing recruitment procedures and practices, for all representatives working for or on behalf of IDO, this will also include:

- Assessment of the role for the type and frequency of potential contact with children and/or vulnerable/protected adults and/or access to sensitive data pertaining to these groups.
- Applicants and successful representatives will be advised to familiarise themselves with the IDO Safeguarding Policy regarding their responsibilities towards vulnerable groups and, for roles that are likely to have contact with vulnerable groups and/or data pertaining to these groups, applicants will be assessed on their awareness of safeguarding practices.
- For people who will have contact with children, vulnerable/protected adults and/or data pertaining to these groups, applicant’s referees shall be specifically asked to provide a view on candidate’s suitability to be working with these groups.

3.4 All successful applicants whose role is judged to involve significant and/or frequent contact with vulnerable groups and data concerning them shall be required to undertake a Disclosure and Barring Service (DBS) check, or the equivalent if based in Scotland or Northern Ireland. Such checks will be conducted and handled in accordance with the Open University’s Disclosure and Barring Services (DBS) Code of Practice and the Open University’s ‘Handling and Safekeeping of DBS Certificate Information Policy’. Failure to undergo DBS checks, or where appropriate the equivalent checks in the jurisdiction of residence, may result in the offer of employment being retracted.

3.5 For successful applicants whose role is not judged to have significant and/or frequent contact with vulnerable groups and/or data concerning them but who may on occasion have cause to come into contact with them or their data, the expectation is that they will adhere to the Code of Conduct, which can be found in Appendix B. This Code of Conduct is binding for all representatives working for or on behalf of IDO.

4. DBS checks for existing staff

4.1 Existing staff will be required to undergo DBS or Disclosure Scotland checks, or where appropriate the equivalent checks in the jurisdiction of residence, where their role is judged to bring them into significant and/or frequent contact with vulnerable groups and/or data concerning vulnerable individuals.

4.2 Failure to undergo DBS checks, or where appropriate the equivalent checks in the jurisdiction of residence by existing IDO employees may result in disciplinary action. Failure to undergo DBS checks, or where appropriate the equivalent checks in the jurisdiction of residence, by non-IDO employees may result in disciplinary action and/or non-participation of IDO-led projects.

4.3 DBS or Disclosure Scotland checks (or where appropriate the equivalent checks in the jurisdiction of residence) will be conducted and handled in accordance with the Open University’s ‘Disclosure and Barring Services (DBS) Code of Practice’ and the Open University’s ‘Handling and Safekeeping of DBS Certificate Information Policy’.
5. Training

5.1 Representatives working for or on behalf of IDO will need to ensure they fully understand the Open University’s Safeguarding Policy and the IDO Safeguarding Policy.

5.2 New joiners

5.2.1 On joining the Open University, all representatives working for or on behalf of the IDO will be provided with and sign a copy of this policy and the associated procedures as part of their induction and will receive an induction to raise awareness of this policy, including the duty to report any suspected or actual breaches.

5.2.1 Staff with responsibility for line management of IDO staff and contact people for the referral of incidents or concerns under this policy will receive additional information and briefing on what to do when an incident or a concern is reported to them.

5.3 Existing staff

5.3.1 Periodic refresher training will be given to all representatives working for or on behalf of the IDO, as appropriate to their role, and at least once every year. This will cover any changes to the IDO Safeguarding Policy and provide a recap of the reporting procedures.

5.3.2 The IDO Safeguarding Policy and contact numbers of relevant referral agencies in the countries where IDO staff will be travelling will be part of the travelling pack of those travelling on behalf of IDO overseas.

6. Code of conduct

6.1 All representatives working for or on behalf of IDO are required to sign and comply with this policy and the Code of Conduct that provides a behavioural protocol for working with children and vulnerable/protected adults overseas (Appendix B). Failure to follow this policy and code may result in disciplinary action or other sanction being taken.

7. Responding to safeguarding concerns and incidents

7.1 All representatives working for or on behalf of IDO must report concerns, suspicions, allegations or incidents of potential or actual abuse of children and vulnerable/protected adults overseas.

7.2 To report a safeguarding incident or concern overseas, the process detailed below should be followed:

7.3 For projects where the Open University is the lead partner:

7.3.1 If you believe the child or vulnerable/protected adult to be in immediate danger:

- Immediately call the appropriate authorities within the country the project is based.

Open University staff and consultants should refer to the Open University travel pack

---

1 (A) that the child and/or vulnerable/protected adult concerned is suffering, or is likely to suffer, significant harm; and (b) that the harm, or likelihood of harm, is attributable to—

(i) the care given to the child, or likely to be given to him if the order were not made, not being what it would be reasonable to expect a parent to give to him; or

(ii) the child’s being beyond parental control. (Section 31 (2) The Children Act 1989).

2 Any decision regarding reporting an incident or concern to external authorities needs to be fully risk assessed in order to ensure that there is no risk of further harm being caused to the victim/survivor or due process and operation of the rule of law is not reasonably assured.
for guidance on the appropriate authorities to contact. Non-Open University staff will be also provided with details of the in-country referral agencies that they should contact.

- In addition, report concerns or incidents to the IDO Safeguarding Focal Point via email, phone or in person as soon as possible after learning of the incident or concern (in any case within 24 hours of learning of the incident).
- Complete an Incident Report Form (Appendix C, Section A), and send to the IDO Safeguarding Focal Point within 24 hours of the incident or concern.

7.3.2 Inability to complete the form should not be a barrier to reporting a concern or incident. If someone is unable to provide written information, the person reporting the incident/concern will be asked to provide an oral report which will be noted down on their behalf, the original copy of which they will then be given the opportunity to sign.

7.3.3 If you believe the child or vulnerable/protected adult to be at risk, but not in immediate danger
- Report the concern or incident to the IDO Safeguarding Focal Point via email, phone or in person within 24 hours of learning of the incident or concern.
- The IDO Safeguarding Focal Point will provide the necessary advice and guidance and ensure that the matter is referred to the relevant authorities as appropriate.
- Complete an Incident Report Form (Appendix C, Section A), and send to the IDO Safeguarding Focal Point within 24 hours of learning of the incident or concern.

7.3.4 Inability to complete the form should not be a barrier to reporting an incident or concern. If someone is unable to provide written information, the person reporting the incident/concern will be asked to provide an oral report which will be noted down on their behalf, the original copy of which they will then be given the opportunity to sign.

7.4 For projects where the Open University is sub-contractor to another party/organisation:

7.4.1 If you believe the child or vulnerable/protected adult to be in immediate danger:
- Immediately call the appropriate authorities within the country the project is based. Open University staff and consultants should refer to the Open University travel pack for guidance on the appropriate authorities to contact. Non-Open University staff will be also provided with details of the in-country referral agencies that they should contact.
- Immediately report the concern or incident to the relevant representative from the lead organisation and the IDO Safeguarding Focal Point.
- Complete an Incident Report Form (Appendix C, Section A), and send to the IDO Safeguarding Focal Point within 24 hours of learning about the incident or concern.

7.4.2 Inability to complete the form should not be a barrier to reporting a concern or incident. If someone is unable to provide written information, the person reporting the incident/concern will be asked to provide an oral report which will be noted down on their behalf, the original copy of which they will then be given the opportunity to sign.

---

3 Any decision regarding reporting an incident or concern to external authorities needs to be fully risk assessed in order to ensure that there is no risk of further harm being caused to the victim/survivor or due process and operation of the rule of law is not reasonably assured.

4 Ibid.
7.4.3 If you believe a child or vulnerable/protected adult is at risk, but not in immediate
danger:
- Immediately report the concern to the representative from the lead partner.
- Immediately report the concern or incident to the IDO Safeguarding Focal Point
  (within 24 hours of learning about the incident).
- Complete an Incident Report Form (Appendix C, Section A), and send to the IDO
  Safeguarding Focal Point within 24 hours of learning of the incident or concern.

7.4.4 Inability to complete the form should not be a barrier to reporting a concern or incident.
If someone is unable to provide written information, the person reporting the incident/concern
will be asked to provide an oral report which will be noted down on their behalf, the original
copy of which they will then be given the opportunity to sign.

7.4.5 If you are concerned in any way about the lead partner’s actions or behaviour in dealing
with the reported issues, make a note in the Incident Report Form and speak to the IDO
Safeguarding Focal Point who will take appropriate follow up action.

8. Following up the concern or incident

8.1 In both the cases where the Open University is the lead partner and where the Open
University is a sub-contractor to another organisation, the Open University has the
responsibility to ensure that reported safeguarding concerns or incidents are tackled to the
best of its ability.

8.2 All representatives working for or on behalf of IDO are expected to maintain regular
contact with the IDO Safeguarding Focal Point to ensure they are aware of all developments
around the case.

8.3 The IDO Safeguarding Focal Point will ensure appropriate advice is given to the person
reporting the incident/concern within 24 hours of the report received.

8.4 The IDO Safeguarding Focal Point may seek guidance from specialists within or
external to the Open University regarding what advice to give and action to take. The Open
University’s Safeguarding Referrals Team will act as a resource pool that may be contacted
to obtain advice on how to tackle specific child safeguarding incidents or concerns overseas.

8.5 All advice given by the IDO Safeguarding Focal Point to the person reporting the
incident/concern should be recorded on the Incident Report Form in Appendix C, Section B,
so a log of action is taken and any progress monitored. This should be shared with the person
reporting the incident/concern. Any further advice/actions given should also be communicated
to in-country staff and noted on the form.

8.6 The IDO Safeguarding Focal Point should follow the case until it has been agreed that
the case has been adequately tackled. Once an issue is considered as having been
adequately tackled, the IDO Safeguarding Focal Point should complete the Incident Report
Form (Appendix C, Section C), which will also need to be signed off by the IDO Director.

8.7 All documentation connected to the concern or incident should be stored in accordance
with the Open University’s procedures and policies on data protection and storage of sensitive
data.

8.8 Any investigations of allegations will be handled sensitively and consistently with the
Open University’s policy.
9. **Sharing safeguarding procedures with staff and communities in country**

9.1 The Open University will make reasonable effort to ensure that communities in which we work are aware of their right to be safe from abuse and exploitation in the Open University's programmes. We will publicise our reporting procedures within country so that staff, partners, beneficiaries and families clearly understand the IDO Safeguarding Policy and how to report any concerns. Reports will be dealt with in a sensitive manner in accordance with this IDO Safeguarding Policy.

10. **Country specific safeguarding information**

10.1 It is recognised that laws and practice concerning child abuse vary between countries. A link to country specific guidance on child protection, including referral agencies, will be provided through the Open University’s travel pack relevant to the country of travel.

10.2 Likewise, provision of services, laws and practice concerning the protection and care available to vulnerable/protected adults varies between countries, and the Open University’s travel packs will include country specific guidance on this issue where appropriate.

11. **Working with contractors**

11.1 Where the IDO is contracting activity to another organisation/person, it is important that this organisation/person is aware of and understands this policy and code of conduct.

11.2 All IDO contracts with organisations and persons to discharge IDO activity will include a copy of this IDO Safeguarding Policy, and adequate provisions.

11.3 Partner organisations will be expected to have robust and appropriate safeguarding policies and procedures in place, and this will be assessed through due diligence processes. Where gaps are identified, IDO will work with the partner organisations to address them.

12. **Data protection and security**

12.1 For handling and storing DBS and Disclosure Scotland information IDO will follow the Open University’s ‘Handling of DBS Certificate’ policies. IDO will comply with existing Open University procedures and policies on data protection and storage of sensitive data.

13. **Communication guidelines**

13.1 The nature of our work means we may need to take, hold and pass on information about, and images of children and other community members, both electronically and in hard copies. The Open University is responsible for ensuring that data and images are appropriate and are safely held. Every effort should be made to comply with the Open University’s Information Security policies for all staff and contracted third parties.

13.2 We will only use images or personal information of children and vulnerable/protected adults in our marketing or programme work in a way that will safeguard their dignity and protect their rights. We will always seek appropriate permission from appropriate authorities to use images in the ‘public’ domain. We will use whatever safeguards we can not to supply information that could enable children or vulnerable/protected adults to be identified and located. This includes not using the child’s or vulnerable/protected adult’s real name or community names within the photos, and not using full names along with community names even without images.
14. **OU visits to programme areas**

14.1 Much of the Open University’s work is conducted within the UK, but some of our staff make regular visits to projects in-country for planning, implementation and monitoring purposes. These visits are normally conducted by Senior Programme Managers (SPMs) and key academics working on the project but can also include wider Open University staff.

14.2 All staff representing the Open University overseas are expected to comply with Open University policies, including the IDO Safeguarding Policy. Prior to departure, staff must complete and sign a travel assessment and risk assessment form.

15. **Updating Safeguarding Policy**

15.1 This IDO Safeguarding Policy should be reviewed annually by the IDO team. The IDO Safeguarding Policy will also be shared with the Open University’s Safeguarding Steering Group for scrutiny.

16. **Related documentation**

Policy for ensuring the safety of children and vulnerable/protected adults (Open University Safeguarding Policy)
Behaviours and Standards at Work
Effective Recruitment and Selection Guide
Disclosure and Barring Service Code of Practice
International Travel and Assignment Policy
Handling of DBS Certificate
Information Security policies for all staff and contracted third parties
Recruitment of Ex-Offenders
Whistleblowing
Prevent Policy
Modern Slavery Policy (in development)

Policy Created: 16 February 2018

Policy reviewed: 27 September 2018
Appendix A

Definitions of abuse
These are not exhaustive, and it is worth noting that all the forms of abuse listed below are rarely found in isolation.

Abuse: a form of maltreatment of a child. Somebody may abuse or neglect a child by inflicting harm or by failing to act to prevent harm. Children may be abused in a family or in an institutional or community setting by those known to them or, more rarely, by others (e.g. via the internet). They may be abused by an adult or adults or by another child or children.

Physical abuse: a form of abuse which may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating or otherwise causing physical harm to a child.

Emotional abuse: the persistent emotional maltreatment of a child such as to cause severe and adverse effects on the child’s emotional development. It may involve conveying to a child that they are worthless or unloved, inadequate, or valued only insofar as they meet the needs of another person. It may include not giving the child opportunities to express their views, deliberately silencing them or ‘making fun’ of what they say or how they communicate. It may feature age or developmentally inappropriate expectations being imposed on children. These may include interactions that are beyond a child’s developmental capability as well as overprotection and limitation of exploration and learning, or preventing the child participating in normal social interaction. It may involve seeing or hearing the ill-treatment of another. It may involve serious bullying (including cyberbullying), causing children frequently to feel frightened or in danger, or the exploitation or corruption of children. Some level of emotional abuse is involved in all types of maltreatment of a child, although it may occur alone.

Sexual abuse: involves forcing or enticing a child or young person to take part in sexual activities, not necessarily involving a high level of violence, whether or not the child is aware of what is happening. The activities may involve physical contact, including assault by penetration (for example rape or oral sex) or non-penetrative acts such as masturbation, kissing, rubbing and touching outside of clothing. They may also include non-contact activities, such as involving children in looking at, or in the production of, sexual images, watching sexual activities, encouraging children to behave in sexually inappropriate ways, or grooming a child in preparation for abuse (including via the internet). Sexual abuse is not solely perpetrated by adult males. Women can also commit acts of sexual abuse, as can other children.

Neglect: the persistent failure to meet a child’s basic physical and/or psychological needs, likely to result in the serious impairment of the child’s health or development. Neglect may involve a parent or carer failing to: provide adequate food, clothing and shelter (including exclusion from home or abandonment); protect a child from physical and emotional harm or danger; ensure adequate supervision (including the use of inadequate care-givers); or ensure access to appropriate medical care or treatment. It may also include neglect of, or unresponsiveness to, a child’s basic emotional needs.

Radicalisation: the process by which a person comes to support terrorism and extremist ideologies associated with terrorist groups.  

Human Trafficking: the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person,

---

for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs.

Female Genital Mutilation (FGM): is a procedure where the female genital organs are injured or changed and there is no medical reason for this. It is frequently a very traumatic and violent act for the victim and can cause harm in many ways. The practice can cause severe pain and there may be immediate and/or long-term health consequences, including mental health problems, difficulties in childbirth, causing danger to the child and mother; and/or death. The age at which FGM is carried out varies enormously according to the community. The procedure may be carried out shortly after birth, during childhood or adolescence, just before marriage or during a woman’s first pregnancy.

Forced marriage: is a marriage in which one or both spouses do not consent to the marriage but are coerced into it. Duress can include physical, psychological, financial, sexual and emotional pressure. In the cases of some vulnerable adults who lack the capacity to consent, coercion is not required for a marriage to be forced.

Modern Slavery: Trafficking or modern slavery is defined by the United Nations Palermo Protocol (UN 2003) in three phases:
- recruitment or acquisition of a man, woman or child
- means, i.e. through the use of force, deception, or coercion
- purpose, i.e. for the purpose of exploitation or forced labour.

Child Sexual Exploitation: Child sexual exploitation is a form of child sexual abuse. It occurs where an individual or group takes advantage of an imbalance of power to coerce, manipulate or deceive a child or young person under the age of 18 into sexual activity (a) in exchange for something the victim needs or wants, and/or (b) for the financial advantage or increased status of the perpetrator or facilitator. The victim may have been sexually exploited even if the sexual activity appears consensual. Child sexual exploitation does not always involve physical contact; it can also occur through the use of technology.

Other definitions

Child: refers to any person under the age of 18.

Safeguarding: Safeguarding is the action that is taken to promote the welfare of children and vulnerable adults in order to protect them from harm.

Safeguarding Concern or Incident: a concern, allegation or fact about inappropriate behaviour or any breach or threatened breach of the terms of this or any other organisational policy which may put a child at risk of harm, injury or death.

Vulnerable/Protected Adult is an adult who:
- has needs for care and support (whether or not the local authority is meeting any of those needs) and;
- is experiencing, or at risk of, abuse or neglect; and;

---

6 Safeguarding Children who may have been trafficked, HM Government Guidance – Dept. of Education and Home Office 2011.
7 Multi Agency Statutory Guidance on Female Genital Mutilation, HM Government April 2016.
8 The Right to Choose: Multi-agency statutory guidance for dealing with forced marriage. HM Government June 2014.
9 Child sexual exploitation Definition and a guide for practitioners, local leaders and decision makers working to protect children from child sexual exploitation. Department of Education February 2017.
• as a result of those care and support needs is unable to protect themselves from either the risk of, or the experience of abuse or neglect.

**Vulnerable Groups**: Children or Vulnerable/Protected Adults.
Appendix B - Code of Conduct

This code of conduct provides expected standards of behaviour of representatives working for or on behalf of IDO towards children and/or vulnerable/protected adults, to be applied to keep them safe. The Code of Conduct is applicable both inside and outside working hours. Representatives working for or on behalf of IDO should avoid actions or behaviour which may constitute poor practice, potential offence, and harmful or abusive behaviour when coming in contact with children and/or vulnerable/protected adults. Breaches of this policy will be dealt with through the Open University’s disciplinary procedures.

The list below is non-exhaustive and should be interpreted in a spirit of common sense.

When working with children and/or vulnerable/protected adults you MUST:

- Conduct interactions with children and/or vulnerable/protected adults that are safe, appropriate, child-friendly and sensitive to the wishes, feelings and views of the children and/or vulnerable/protected adults.
- Ensure that your behaviour and actions demonstrate respect for children and/or vulnerable/protected adults and their rights.
- Be familiar with the procedures for reporting concerns or incidents to IDO, including whom to contact within the IDO team.
- Immediately report any concerns relating to the safety or welfare of a child and/or vulnerable/protected adult you are in contact with through appropriate channels.
- Avoid working alone with children and/or vulnerable/protected adults and plan your work so that at least two adults are present at any time.
- Behave appropriately; make sure that language is moderated in children’s and/or vulnerable/protected adults’ presence and refrain from jokes or comments that may cause discomfort or offence.
- Avoid inappropriate physical contact with a child and/or vulnerable/protected adult. For example, if a child and/or vulnerable/protected adult is hurt or distressed, comfort or reassure him/her without compromising his/her dignity.
- Be sensitive to local norms and standards of behaviour towards children and/or vulnerable/protected adults.
- Listen to what the children and/or vulnerable/protected adults are saying and respond appropriately.
- Be familiar with and responsible in the use of social media in communications about children and/or vulnerable/protected adults.
- Cooperate fully and confidentially in any investigation of concerns or allegations of abuse against children and/or vulnerable/protected adults.

When working with children and/or vulnerable/protected adults YOU MUST NEVER:

- Act in ways that may be abusive or may place them at risk of abuse.
- Condone, or participate in, behaviour towards a child and/or vulnerable/protected adult that is illegal, unsafe or abusive.
- Hit or otherwise physically assault, harm or abuse them.
- Develop physical/sexual relationships with them.
- Behave verbally or physically in a manner that is inappropriate or sexually provocative.
- Develop relationships with them that could in any way be deemed exploitative or abusive.
- Use language, make suggestions or offer advice that is inappropriate, offensive or abusive.
- Act in ways intended to shame, humiliate, belittle or degrade children and/or vulnerable/protected adults, or otherwise perpetrate any form of emotional abuse, discriminate against, show differential treatment, or favour particular children and/or vulnerable/protected adults to the exclusion of others.
- Allow allegations made by a child or concerns expressed by others about their welfare, to go unrecorded or not acted upon.
• Do things for a child and/or vulnerable/protected adult of a personal nature that they can do for themselves.
• Have a child and/or vulnerable/protected adult with whom you are working stay overnight at your home or other personal accommodation in which you are staying.
• Use any computer or other electronic device to view, download, distribute or create indecent or inappropriate images of children and/or vulnerable/protected adults.
• Share personal contact details (e.g. home address, personal phone number or email, personal social media etc.) with any child and/or vulnerable/protected adult.
Appendix C
Safeguarding Incident or Concern Reporting Form for Work Overseas

Reporting a safeguarding concern or incident – Confidential

Section A: For completion by any representative working for or on behalf of IDO who has witnessed, is concerned, suspects or is made aware of any incident affecting a child or vulnerable/protected adult.

Return this form via e-mail to the IDO Safeguarding Focal Point:
International-safeguarding@open.ac.uk

<table>
<thead>
<tr>
<th>Part One: About you</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your name:</td>
</tr>
<tr>
<td>Your role and organisation:</td>
</tr>
<tr>
<td>Contact details to contact you (e.g. your phone numbers and e-mail address) if we need more information to help the child and/or vulnerable/protected adult:</td>
</tr>
<tr>
<td>Country and region:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part Two: About the child or vulnerable/protected adult</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name(s):</td>
</tr>
<tr>
<td>Gender:</td>
</tr>
<tr>
<td>Age:</td>
</tr>
<tr>
<td>Ethnicity:</td>
</tr>
<tr>
<td>Address if known. If address is not known, how can we find this child and/or vulnerable/protected adult to help him/her?</td>
</tr>
<tr>
<td>How is the child/young person and/or vulnerable/protected adult known to the Open University?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Part Three: About Your Concern (continue on a separate sheet if necessary)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date, time and place of incident / concern:</td>
</tr>
<tr>
<td>Nature of concern/incident (record as accurately as possible). If you have witnessed an incident, please give details:</td>
</tr>
<tr>
<td>Context in which the concern/incident was raised (was abuse observed or suspected? was an allegation made? was abuses disclosed to you by the victim?):</td>
</tr>
<tr>
<td>If the victim reported the incident to you directly, please record exactly what the child/vulnerable/protected adult said, as far as you can, and what you said:</td>
</tr>
<tr>
<td>Outline any initial action you took:</td>
</tr>
<tr>
<td>Are you aware of any actions that have been taken by others to respond to this incident yet?</td>
</tr>
<tr>
<td>Name of IDO Safeguarding Focal Point you referred the matter to:</td>
</tr>
<tr>
<td>Time and date you reported the matter to the IDO Safeguarding Focal Point:</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Details of any advice received from the IDO Safeguarding Focal Point:</td>
</tr>
<tr>
<td>Have you reported the incident to anyone else? If yes, please specify to whom; time and date of reporting; advice given by the additional person/people you reported to:</td>
</tr>
<tr>
<td>Is there any other relevant information we should be aware of?</td>
</tr>
<tr>
<td>Signature: Date:</td>
</tr>
</tbody>
</table>

Section B: Referral Support and follow up
For completion by IDO Safeguarding Focal Point

Complete this table to record each interaction/update on the case.

Did the matter require referral to the country’s agency? Yes ☐ No ☐

Name and contact details of the agency/people the concern or incident was referred to:

Details of advice/response provided by received from the agency/people the concern or incident was referred to:

Other actions taken:

Recommendations on any further action needed:

Any other comments:

Signature: Date:

Section C: Incident closure report

For completion by IDO Safeguarding Focal Point and for approval by IDO Director

Please complete when you are happy the matter has been fully resolved

Are you satisfied that the matter has been fully resolved? Yes ☐ No ☐

Signature of IDO Director Date:

Please store this form in accordance with Open University procedures and policies on data protection and storage of sensitive data.
Appendix D – Flow Chart Showing Actions in Event of a Safeguarding Concern
Appendix E

Privacy Notice – Safeguarding

1. Scope

1.1 This document sets out what we do with your personal data when safeguarding concerns are reported to us.

1.2 This document applies to you if you report a safeguarding concern, if a safeguarding concern is reported about you, or a safeguarding concern is reported where you are at risk.

2. Who we are

2.1 The Open University is the data controller in relation to the processing activities described below. This means that the Open University decides why and how your personal information is processed.

2.2 Where this policy refers to “we”, “our” or “us” below, unless it mentions otherwise, it’s referring to the Open University

3. What information do we collect about you, and how do we collect it?

3.1 If information is brought to the attention of a member of Open University staff about a potential safeguarding risk, that member of staff is obliged to notify the Safeguarding Referrals Team. This could include the name of the person identifying the issue, the names of the individuals potentially at risk, and the name of the person they are at risk from, as well as details of personal circumstances which relate to the safeguarding concern.

3.2 This information may include “special category” data, for example, about health or disability, sexual life or sexual orientation.

4. How do we use your personal information?

4.1 We use this information to assess whether there is a safeguarding risk, and if there is any action that we need to take to keep individuals safe. This is a statutory and legal obligation informed by legislation including Keeping Children Safe in Education 2016 and The Care Act 2014 and equivalent legislation for the non-English UK nations.

4.2 The condition for processing special category data for this purpose would be that it is in the substantial public interest, for the purposes of protecting an individual from harm (see Safeguarding amendment to Data Protection Bill).

4.3 We also keep statistical information about the number of safeguarding concerns that have been raised, and how they were resolved. This is in our legitimate interest to plan our services.

5. Who do we share your information with?

5.1 We will share information with police forces, and government agencies, where we deem it necessary to protect an individual. This is a legal and moral obligation.

5.2 We use third party suppliers and service providers for the provision of, for example, specialist safeguarding advice.

5.3 When we use third party service providers, we only disclose to them any personal information that is necessary for them to provide their service. We have a contract in place that requires them
to keep your information secure and not to use it other than in accordance with our specific instructions.

6. Do we transfer information outside the European Economic Area (EEA)?

6.1 Generally, information you provide to us is stored on our secure servers, or on our cloud-based systems which are located within the EEA.

6.2 There are times when we may need to store information outside the EEA. If we transfer your information outside of the EEA, we will ensure that appropriate security measures are taken so that your privacy rights continue to be protected as outlined in this policy. This would either be imposing contractual obligations on the recipient of your personal information or ensuring that the recipients are subscribed to ‘international frameworks’ that aim to ensure adequate protection. For example, we would ensure that a US based supplier has signed up to “Privacy Shield”.

7. How long do we keep your personal information for?

7.1 The Safeguarding Referrals Team keep safeguarding concerns for three years from the date of case closed, if we decide they are not necessary to act on, and for 25 years if we do act on them.

8. Your rights

8.1 You have a number of rights in relation to your personal information, which apply in certain circumstances under the General Data Protection Regulations. To exercise any of these rights, please contact us using the details in Section 9, below.

8.2 You have the right:

• To access your personal information that we process • To rectify inaccuracies in the personal information that we hold about you In some circumstances, you also have the right:
• To have your details removed from systems that we use to process your personal data • To restrict the processing of your personal data in certain ways • To obtain a copy of your personal data in a structured electronic data file • To object to certain processing of your personal data by us • To request that we stop sending you direct marketing communications. If you are concerned about the way we have processed your personal information, you can complain to the Information Commissioner’s Office (ICO).

9. Contact us

9.1 If you have any queries about safeguarding at The Open University, please contact the Safeguarding Referrals Team at Safeguarding-Referrals@open.ac.uk.

9.2 The Open University has a nominated Data Protection Officer. If you have any queries about this privacy notice or about the way we process your personal information, please use the contact details below:

• Email: data-protection@open.ac.uk
• Telephone: +44 (0)1908 653994
• By post: The Data Protection Officer PO Box 497 The Open University Walton Hall Milton Keynes MK7 6AT