

Adult Safeguarding Standards for Safeguarding Adults Boards)

Overview

This improvement tool is based on the L.G.A. Adult Safeguarding Standards refreshed in March 2015. It has been reviewed by London ADASS in light of the Care Act Statutory Guidance (2015) revised (2016) and the London Multi Agency Safeguarding Adults Policy and Procedures for London (2016). This has been further revised by the LGA and ADASS to be piloted as a tool for peer reviews for Safeguarding Adults Boards in 2017.

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There are four key themes for the standards, with a number of sub-headings as follows:

Themes	Outcomes for, and the experiences of, people who use services	Leadership, Strategy and Working Together in Partnership	Commissioning, Service Delivery and Effective Practice	Performance and Resource Management
Elements	<p>1. Outcomes</p> <p>2. People’s experiences of safeguarding</p> <p>This theme looks at what differences there have been to the outcomes people experience in relation to Adult Safeguarding and the quality of experience of people who have used the services provided</p>	<p>3. Collective Leadership</p> <p>4. Strategy</p> <p>5. Safeguarding Adult Board</p> <p>This theme looks at:</p> <ul style="list-style-type: none"> • The overall vision for Adult Safeguarding • The strategy that is used to achieve that vision • How this is led • The role and performance of the Safeguarding Adults Board (SAB) • How all partners work together to ensure high quality services and outcomes 	<p>6. Commissioning</p> <p>7. Service Delivery and effective practice</p> <p>This theme looks at the role of commissioning in shaping services, and effectiveness of service delivery and practice in securing better outcomes for people.</p>	<p>8. Performance and resource management</p> <p>This theme looks at how performance and resources including its people, are managed.</p>

Outcomes for and the experiences of people who use services

This theme looks at what has actually been achieved by Adult Safeguarding and the quality of experience for People who have used the services and support

	Ideal Service	Probes	Possible sources of evidence
1. Outcomes	<p>1.1 People at risk of abuse and neglect are safeguarded both in the community and in establishments such as care homes and hospitals.</p> <p>1.2 Partners' approach to safeguarding clearly has an outcome based focus.</p> <p>1.3 Partners demonstrate improved safeguarding outcomes alongside wider community safety improvements.</p> <p>1.4 People have access to effective criminal, civil or social justice, to resolution and recovery.</p>	<ul style="list-style-type: none"> • There is a shared approach to outcomes between all partners so that all know what difference they are making. • Outcomes for safeguarding are coherent with outcomes relating to work on domestic abuse, hate crime, anti-social behaviour and community cohesion. • There is evidence in the equity of process and support so outcomes are consistent to all people, including those from different cultures, communities, race or people of different genders or sexual preference. • Outcomes are consistent, regardless of how old people are, whatever their disability or mental health problems, who pays for their care. • The public (including under-represented groups and adults at risk of abuse and neglect), plays a part in preventing, detecting and reporting neglect and abuse. • Effective prevention and early intervention is in place, as required by revised Care Act Guidance (October 2016). 	<ul style="list-style-type: none"> • There is an emphasis on outcomes, community, and citizen voice throughout all strategies, plans and progress reporting and in interviews and case records. • Performance reporting includes outcomes measures. • Case files. Safeguarding Adults Board (SAB) annual reports and plans and strategies. • Safeguarding Adult Reviews, Domestic Homicide Reviews, Serious Untoward Incidents, Mental Health Inquiries, Coroners reports. • Reports to the Council, Clinical Commissioning Group, Health and Wellbeing Board, Community Safety Partnership. • SAB publicity • Partner agencies internal and external reports. • Any report relating to equalities or diversity especially where there is a safeguarding focus. • Quality Monitoring Reports (where they interface with safeguarding enquiries/provider concerns). • Interviews

	Ideal Service	Probes	Possible sources of evidence
2. People's experiences of safeguarding	<p>2.1 Partners have enabled high levels of expressed, positive experiences from people who have used safeguarding arrangements and services.</p> <p>2.2 Partners have fully engaged people who use services in the design of their services.</p> <p>2.3 Delivery accords with the public sector Equality Duty.</p> <p>2.4 Safeguarding is personalised and people are empowered.</p>	<ul style="list-style-type: none"> • People experiencing safeguarding services are treated sensitively and with dignity and respect. • Advocacy is available and used appropriately for people who are (or may have been) experiencing abuse, including Care Act advocates, independent advocates for Mental Capacity (IMCA), Domestic Abuse (IDVA) and Mental Health (IMHA). • There is support and protection available for people who have experienced abuse. • Risk is supported, managed and mitigated proportionately for each individual. • Victims of neglect and abuse and witnesses are supported through the criminal justice system. • Outcomes are defined by the individuals concerned or, where people lack decision making capacity, by their representatives or advocates. • Progress on Making Safeguarding Personal. • The safeguarding process is proportionate, puts individuals in control and where this is not possible (for instance where criminal investigation and action is undertaken or where there is concern that an individual or organisation could harm others) this is fully discussed and the person's views taken into account as much as possible. 	<ul style="list-style-type: none"> • Feedback from people who have used safeguarding services and actions taken as a result, for example Healthwatch, community of voluntary sector feedback • Aggregated reports from reviews. • Protocols, strategies, examples of involvement of people who use services. • A range of methods for engaging with people about safeguarding e.g. a focus group or forum of people who use care services and their carers. • File audits and case files including risk assessment. • Performance Management information. • Personal reports evidencing Making Safeguarding Personal approach eg training records, safeguarding meeting records. • Benchmarking Making Safeguarding Personal progress against regional analysis. • Risk assessment. • Any report relating to equalities and diversity especially where there is a safeguarding focus. • Making Safeguarding Personal information or feedback survey data. • Deprivation of Liberty Standards (DoLS) reports.

- The Mental Capacity Act is embedded in organisations.¹
- Deprivation of Liberty Safeguards are applied appropriately where an individual lacks capacity.
- There are services available to support informal carers, to support the improvement of relationships and for abusers to address their behaviours where appropriate.
- Wider family members, friends and neighbours are engaged in safeguarding adults at risk when this is appropriate.
- Court of Protection applied as appropriate to individuals.
- Reports on MCA activity such as training, Best Interests meetings, referrals to IMCA.
- Interviews

¹ MCA 2005 www.legislation.gov.uk/ukpga/2005/9/contents

Leadership, Strategy and Working Together

This theme looks at the overall leadership, vision and partnership for Adult Safeguarding; the strategy that is used to achieve that vision and how this is led at all levels in the organisations involved.

	Ideal Service	Probes	Possible sources of evidence
3. Leadership	<p>3.1 There is recognised and active leadership from the Independent Chair of the SAB creating a culture of challenge.</p> <p>3.2 There is recognised and active leadership to safeguard adults in each of the statutory partner organisations and all SAB partners.</p> <p>3.3 There is joint and coordinated leadership with and by other key partners.</p>	<ul style="list-style-type: none"> • The SAB chair demonstrates effective leadership and creates an environment for effective challenge. • Partners have strategic and accountable leads at a senior level who can demonstrate their leadership and challenge role. • There is strong collective leadership within and between the key partners. • Senior officers demonstrate their leadership role to respond to abuse and neglect • Officers and Members, executives and non-executives work across individual service and agency boundaries, and beyond traditional definitions of their role, to improve outcomes. • All leaders promote safeguarding as core business for their organisation and the community, and make the links to other strategic priorities. • All leaders understand and communicate legislative frameworks for adult safeguarding. • Key councillors and Board members are knowledgeable about safeguarding and prevention and own Adult Safeguarding. • Partners actively champion the key equality duties. • Leaders are supported by appropriate training and resources. 	<ul style="list-style-type: none"> • Leadership responsibilities have been allocated and are actively discharged. • Evidence of safeguarding in governance processes and reports. • Evidence of organisational executive responsibilities. • Reports to relevant Boards and Committees of partner organisations. • Minutes of Community Safety Partnerships. • Examples of support and training for leaders. • Shared organisation learning through existing meetings eg SAB. • Any Safeguarding Adult Review (SAR) reports and action plans, progress reports on related actions. • Feedback or appraisal of SAB Chair. • Interviews

	Ideal Service	Probes	Possible sources of evidence
4. Strategy	<p>4.1 The SAB has a published Strategic Plan which all partners support to deliver.</p> <p>4.2 Safeguarding is embedded in strategies within all partner agencies.</p> <p>4.3 Partners have a mechanism to deliver the agreed Adult Safeguarding Strategic Plan</p>	<ul style="list-style-type: none"> • The process of developing strategies has been inclusive and includes the Council, NHS, Healthwatch, Police, CPS, voluntary and community sectors and people using services etc. • The SAB Strategic Plan is variable and accessible publically. • The plan is available or can be made available in different formats so people understand and are aware of their local authority area's proposals. • SAB partners actively supports the delivery of the Strategic Plan. • Partners' visions, priorities and other strategies are in line with the SAB Strategic Plan. • There is a Joint Strategic Needs Assessment with robust information about the needs of the full range of adults requiring care and support who are at risk of abuse and neglect, and a strategy that is based upon those needs. • There are clear strategies for improving adult safeguarding outcomes. Evidence of how plans link into other strategies e.g. Transforming Care. • Partners know what the views and experiences of people who have used services are and have incorporated these in its vision, strategies, plans and priorities. There are also incorporated into commissioning processes. 	<ul style="list-style-type: none"> • SAB Strategic Plan. • Partners' strategies and plans. • Commissioning and contracting documentation. • SAB annual reports, reports, publicity • Policies and procedures. • The vision is articulated by the leaders and across all partner organisations. • Joint Strategic Needs Assessment (JSNA) and Joint Health and Wellbeing Strategies (JHWS) • Interviews

	Ideal Service	Probes	Possible sources of evidence
5. Safeguarding Adults Board (SAB)	5.1 The SAB meets its statutory duties as set out in the Care Act Section 43, Schedule 2. ²	<ul style="list-style-type: none"> • Partners contribute human and financial resources to the SAB to enable it to function effectively. • The SAB produces an Annual Report, Strategic Plans, Safeguarding Adult Reviews (SAR) as required and delivers functions outlined in Care Act Guidance (14.139).³ • The SAB has good quality legal, medical, nursing, social work and other advice available to it as necessary. • There are strong links between the Safeguarding Adults Board, Health and Wellbeing Board, Community Safety Partnership, Children’s Safeguarding Board. • There are clear protocols in place that integrate different agency procedures – for instance between Serious Untoward Incidents and Safeguarding, Children’s and Adults Serious Case Reviews, Domestic Homicide Reviews, Mental Health Reviews etc. • There are mechanisms in place to ensure that the views of people who are in situations that place them at risk of abuse and carers, inform the work of the SAB. 	<ul style="list-style-type: none"> • SAB Annual reports, Strategic. • SAB annual plan, reports and minutes. • Governance documents (terms of reference, roles and responsibilities, membership agreements) • Reports and minutes of Partners’ meetings. • CCG, NHS Trust, NHSE, Local Authority and other board papers and minutes. • Partners have taken annual reports through their governance systems. • SARs and related action plans and delivery/response mechanisms. • Communication with the community.

² <http://www.legislation.gov.uk/ukpga/2014/23/section/43/enacted>

³ Reference to Care Act Statutory Guidance 2016

- Evidence is in place to support requirements as set out in Schedule 2, Care Act

Commissioning, Service Delivery and Effective Practice

This theme looks at how services are commissioned in relation to local needs and then how they are actually provided, including the involvement of people using services.

	Ideal Service	Probes	Possible sources of evidence
6. Commissioning	<p>6.1 The Local Authority and the NHS commission safe and cost-effective services.</p> <p>6.2 The Local Authority and the NHS have developed mechanisms for people who are organising their own support and services to manage risks and benefits.</p> <p>6.3 Safeguarding is a proportionate, balanced, inclusive and appropriate process and not used as a substitute to other more appropriate arrangements. (14.9 Care Act).</p>	<ul style="list-style-type: none"> Commissioners and contractors set out quality assurance and service standards that safeguard people and promote their dignity and control. Clear expectations and reporting requirements are placed on providers.⁴ Contract monitoring has a focus on safeguarding and dignity and any shortfalls in standards are addressed. Providers meet essential/fundamental standards and quality improvement is tracked and acted on. Commissioning and contracting with regulated providers' functions alongside the Care Quality Commission (CQC) and Healthwatch. Reporting across providers is tracked and under or over-reporting patterns addressed. Quality in health and social care services is managed across the NHS, Local Authority and CQC (with links to Quality Surveillance Groups) so that abuse and neglect is prevented. Actions take place to safeguard individuals (whether funded by the host or other local authorities, or by individuals themselves) to safeguard people when standards in services put people at risk. There are options for the use of accredited and managed Personal 	<ul style="list-style-type: none"> Specifications and contract monitoring reports. Management and SAB reports. Case files. Documented accreditation schemes. CQC, QSG and Healthwatch reports. Information for the public about how to choose services and supports that meet their needs and given them a fair deal. Liaison and information sharing with LA, Healthwatch, CQC and CCGs. Provider Engagement. Evidence of quality assurance process in commissioning to oversee local provide quality. Interviews

⁴ <http://www.local.gov.uk/documents/10180/5756320/Commissioning+for+Better+Outcomes+A+route+map/8f18c36f-805c-4d5e-b1f5-d3755394cfab>

Assistants for people with Direct Payments and Personal Budgets

	Ideal Service	Probes	Possible sources of evidence
7. Delivery and effective practice	<p>7.1 Partners have robust and effective service delivery that makes safeguarding everybody's business.</p> <p>7.2 Domestic Abuse, hate crime, anti-social behaviour and community cohesion work includes adults needing care and support.</p> <p>7.3 Safeguarding activity is improving outcomes for people and enables them to reach justice, resolution and recovery.</p> <p>7.4 Safeguarding is personalised and meets the requirements of law and guidance.</p> <p>7.5 Clear role for Principle Social Worker (PSW) in relation to quality of frontline practice.</p> <p>7.6 Individuals and organisations are clear about their roles and responsibilities.</p>	<ul style="list-style-type: none"> Partners can clearly demonstrate good policies, practices and procedures in the delivery of Adult Safeguarding, which are understood and followed by staff at all levels. People do not fall through the net (and are not passed from pillar to post) between agencies or services within agencies. Clear understanding of what abuse is across all agencies and the public and what to do if suspected. Clear on where to go and who to contact. There are effective arrangements for making enquiries that ensure the right professionals or agencies are involved and that the proposed action is effective and proportionate. Supporting agencies help people to weigh up and manage benefits and risks whilst choosing care and support ensuring service users are empowered. A range of approaches to enable people to reach resolution and recovery from abuse and neglect. Agencies are clear about their responses which are timely and proportionate. Care and protection plans are clear and incorporate requirements for monitoring and review and their effectiveness is monitored. The proposed action is personal and proportionate. There are regular social care or health reviews of individuals that identify any potential safeguarding concerns. 	<ul style="list-style-type: none"> Policies and procedures and the awareness and utilisation of them by staff. Guidance for staff and partners (including such tools as flow charts). Information and advice for the public. Case File audits Interviews. Practice observation. Any staff surveys. Staff views of support from safeguarding 'specialists'. Safeguarding Adult returns including comparative information. Safeguarding training data. Notes from inter-agency, peer forums, risk panels etc. SAB Strategic Plan SARs Action Plan Healthwatch reports on safeguarding.

- People who are, or may be, experiencing abuse are involved in all decisions about them.
- People's rights are safeguarded through proper application of the law, including the Care Act, Mental Health and Mental Capacity Acts, Police and Criminal Evidence Act, Domestic Abuse and Human Rights legislation.
- People in the community raise concerns regarding safeguarding.
- Specialist safeguarding staff/ safeguarding teams support others in identifying and addressing safeguarding issues.
- Adult Safeguarding staff are alert to when there are children in the household and there is joint work with Children's Services with families where both adults and children may be experiencing abuse.
- Information sharing protocols are clear so that information is shared appropriately across agencies and is effectively acted on. Staff are confident in using these arrangements.
- Partners have a range of proportionate, appropriate and effective responses to safeguarding concerns, with the right professional input.
- Agencies have arrangements for assuring high quality professional practice of their staff.
- All staff have regular supervision that facilitates good decision-making support and an appraisal scheme that operates at all levels and which addresses development and performance.
- Supervision Policy
- Information sharing protocols
- Evidence of activity to monitor practice by Principle Social Worker and examples of on-going experiential learning and continuous improvement.

Performance

This theme looks at how the performance and resources of the service, including its people are managed.

	Ideal Service	Probes	Possible sources of evidence
8. Performance and Resource Management	<p>8.1 Services are clear about their collective responsibilities for safeguarding adults.</p> <p>8.2 Services are held accountable through performance measures, including quality measures for safeguarding activity.</p> <p>8.3 Services can evidence their delivery improvement through the SAB Delivery Plan.</p>	<ul style="list-style-type: none"> • There is a strategic plan setting out clear objectives and smart targets. • There is a performance management framework that captures the adult safeguarding pathway and includes information from all Partners. • Local workforce and training plans provide people with the right skills for safeguarding adults. • There is cross-sector training and development, including equality awareness training. • There is effective generic and specialist training and support that enables all professionals and partners to practice to appropriate standards. • There is effective legal advice and the criminal and civil law is used to effectively safeguard people. • There are a range of systems that improve the quality of services on the front line, including through quality assurance, performance reporting and mechanisms (such as file and practice audits, customer feedback, practice forums and mystery shopping). • The outcomes people want are defined by them and the extent to which they are realised is measured and aggregated. • A learning culture is evident. Partners learn from both best practice and from things that don't go well. SARs are 	<ul style="list-style-type: none"> • A suite of indicators including quantitative and qualitative measures of performance that is reported on regularly. • Summaries of training activity. • Skills and confidence as demonstrated in interviews and through file audits. • Overview and Scrutiny Committee agendas and reports, Committee/Board reports (Governance) with evidence of follow up and action • SAB Delivery Plan • Annual Safeguarding Adult Board Report, minutes and reports to SAB meetings. • Prosecution Data. • Budget reports and resource allocations.⁵

used as the basis of improvement for the future.

- Scrutiny mechanisms are effective.
- All agencies have internal mechanisms to monitor performance for adult safeguarding.
- Budget for SAB with broad range of partner input.
- Evidence of demonstrable capacity to support the Board.