



Quality Assurance Framework – REVIEW January 2017.

1. Introduction

- 1.1 West Sussex Safeguarding Adults Board (WSSAB) is a group of statutory, non-statutory and voluntary partners, co-ordinated by an independent support team and independent chair; which gives strategic leadership for adult safeguarding across the local authority area.
- 1.2 WSSAB's remit is to agree objectives, set priorities and co-ordinate the strategic development of adult safeguarding and it acts as the key mechanism for agreeing how agencies will work together effectively to safeguard and promote the safety and well-being of adults at risk and/or in vulnerable situations.
- 1.3 The Board aims to promote awareness and understanding of abuse and neglect amongst service users, carers, professionals, care providers and the wider community and works to generate community interest and engagement in safeguarding to ensure "Safeguarding is Everyone's Business".
- 1.4 WSSAB is responsible for ensuring that the systems in place locally to protect people at risk are proportionate, balanced and responsive. The Board produces and publishes an annual Safeguarding Adults Strategy and an annual report/accountability statement which highlights the Board's progress and achievements in meeting stated objectives.
- 1.5 The WSSAB's specific objectives are:
 - To hold local partners to account in relation to their delivery of safeguarding and implement an integrated performance monitoring framework focusing on outcomes rather than targets.
 - To provide a clear legal, policy and professional framework to enable staff with safeguarding responsibilities across all agencies, to work

effectively together to safeguard people at risk so that responses are proportionate and consistent with personalised safeguarding.

- To develop a shared workforce planning and development framework which sets the standard for safeguarding adults training and which will inform partner agencies training provision.
- To hold agencies to account regarding the quality of services they commission and the strategies in place to monitor and improve local care services.
- To implement cohesive multi agency learning and review framework to enable lessons to be learned from cases where there have been poor outcomes to ensure that lessons learned are applied in practice.

2. Context

- 2.1 Current national guidance, sector led improvement initiatives as well as learning from local and national events such as Orchid View, Winterbourne View and Mid Staffordshire all highlight the need for an integrated, collaborative approach to quality assurance of adult safeguarding.
- 2.2 Historically, local monitoring arrangements have reflected a single rather than multi agency focus in which attention is placed on outputs and processes rather than outcomes. The traditional approach (e.g. quarterly and annual safeguarding activity reports to WSSAB) does not tell us how safe people are and whether safeguarding work has made a difference.
- 2.3 The Care Act 2014 and Making Safeguarding Personal have introduced new ways of supporting individuals who experience abuse and neglect as well as legislating that Safeguarding Adults Boards are now a legal entity. The Care Act gives the Safeguarding Adults Board three core duties:
 - It must publish a strategic plan for each financial year that sets out how it will meet its main objective and what the members will do to achieve this.
 - It must publish an annual report detailing what the Safeguarding Adults Board has done to achieve its main objective and implement its strategic plan.
 - It must conduct Safeguarding Adults Reviews in accordance with Section 44 of the Act.

2.4 In response to these developments, the WSSAB has developed an integrated Safeguarding Adults Quality Framework which is designed to enable the Board to fulfil its remit of ensuring local safeguarding arrangements are effective and deliver the outcomes that people want. The Safeguarding Adults Quality Framework will act as the mechanism by which WSSAB will hold local agencies to account for their safeguarding work, including prevention and risk management.

It also will provide collaborative leadership for safeguarding whilst ensuring proportionality and balance in the safeguarding system. It promotes personalised safeguarding and places focus on outcomes not targets.

2.5 The WSSAB Safeguarding Adults Quality Framework is complemented by both the WSSAB Multi Agency Audit and the work of the SAR subgroup; which is designed to support local agencies to learn from cases with poor outcomes and apply learning to practice. It also provides a mechanism to check that learning from Safeguarding Adult Reviews, Domestic Homicide Reviews, CQC investigations, etc. have led to changes and improvement at service delivery level, as well as enhancing the culture and feel of services.

2.6 The Safeguarding Adults Board Quality Framework will answer three key questions for WSSAB in its scrutiny role:

- **How safe are local people?** (Keeping people safe from harm)
- **Are local agencies working effectively internally and together to safeguard?** (Effective systems and processes)
- **Does the person feel safer as a result?** (Making a difference)

2.7 The Safeguarding Adults Quality Framework consists of three key areas which are all interlinked. It is a vehicle through which the multi-agency membership and a wider cohort of organisations can demonstrate their contribution to effective safeguarding services in West Sussex. The framework consists of three elements each designed to answer the three key scrutiny questions:

a) *Monitoring Performance:*

How safe are local people?

b) *Quality Assurance:*

Are local agencies working effectively internally and together to safeguard?

c) *Making a Difference:*

Does the person feel safer as a result?



a) Monitoring Performance (How safe are local people)?

The following criteria are the foundations for effective safeguarding that all organisations need to have in place:

- Effective quality monitoring mechanisms are in place that identify how the organisation is complying with the West Sussex Multi Agency procedures and current best practice related to safeguarding adults;
- Compliance with the quality assurance and monitoring activity as set by the WSSAB and implemented via the Quality and Performance Subgroup.
- Internal safeguarding adult's activity data and submission of performance activity which is reported to the Quality and Performance Subgroup.
- Adherence by member organisations to the requirements outlined in the WSSAB Information Sharing protocols.

WSSAB will do the following things in order to support local agencies achieve the above objectives:

- *Annual safeguarding assurance tool:* WSSAB will implement an annual assurance tool which partner agencies will be asked to complete at the end of the business year (typically April). The QA Officer of the Board

team will use the tool to identify key developments and working areas for inclusion in the Annual Report. The tool will also be used for benchmarking with other partners and further work supported by the QA Officer. This approach supports the WSSAB in its governance and remit of holding local agencies to account for their safeguarding work.

- *Audit programme:* WSSAB will complement the annual assurance approach by undertaking a collaborative programme of focussed audits, responding to other Safeguarding Adults Board activity; such as Safeguarding Adult Reviews, and thematic audits targeting specific areas of concern and/or priority areas highlighted by monitoring information. This will be further evidenced within the Multi-Agency Audit programme.
- *WSSAB governance arrangements:* There are clear governance arrangements in place regarding the management of the Board. The Board also publishes an annual Safeguarding Strategy which from this year will be produced in consultation with the public and Healthwatch West Sussex.

b) Quality Assurance (are local agencies working effectively internally and together to safeguard?)

The following criteria are the foundations for effective safeguarding that all organisations need to have in place:

- Robust systems and processes in place to deliver the West Sussex Multi Agency Safeguarding Adults Policy and Procedures;
- Safeguarding linked into all aspects of their services;
- Availability of appropriately trained, skilled and competent staff (consistent with local multi-agency safeguarding procedures);
- Clear care governance processes for which the interface with local multi-agency safeguarding procedures are managed effectively.

WSSAB will do the following things in order to support local agencies achieve the above objectives:

Organisational self audit: Local agencies will be asked to undertake an Organisational Safeguarding Annual Assurance Tool to help them evaluate the effectiveness of their internal safeguarding arrangements and to identify and prioritise any areas needing further development. The Organisational Self Audit Tool will be completed on an annual basis and can be found in Appendix A

Internal and collaborative quality audits: WSSAB will publish and undertake an annual programme of Multi-Agency audits to complement performance monitoring activities in order to assess the effectiveness of safeguarding at the local level. Topics will be determined with reference to WSSAB priorities, in response to serious case reviews or concerns and issues highlighted by performance monitoring. Audit findings will be collated with a trend analysis and an analysis of the policy and practice implications presented to WSSAB who will decide the appropriate response. Audits will be timed so that any trends can be addressed in the WSSAB annual report and publication of the WSSAB strategic plan.

c) Making a Difference (Does the person feel safer as a result)?

The following criteria are the foundations for effective safeguarding that all organisations need to have in place:

- Internal processes and practices are consistent with the principles of making safeguarding personal; promoting an inclusive and outcome focused approach.
- Mechanisms have been established to gain feedback from service users on these and user feedback forms part of general safeguarding practice within West Sussex
- Information gained from service user feedback is used to inform service planning and development.

WSSAB will doing the following things in order to support local agencies achieve the above objectives:

User feedback: A range of approaches will be developed to enable organisations to seek the views of people using safeguarding services and to use the information to improve safeguarding responses. This approach supports the WSSAB's priority of promoting personalised and inclusive safeguarding in which service users are supported to achieve the outcomes they want. It places the spotlight on outcomes achieved and making a difference rather than meeting targets.

Outcome statements: WSSAB will agree a set of safeguarding 'making a difference' or outcome statements and will implement a multi-agency standardised Safeguarding Feedback Tool following any direct intervention. This part of the process will be developed by the Engagement subgroup of the Safeguarding Adults Board.

Results will be aggregated by designated person in each agency and then collated for the WSSAB with a trend analysis so that the Board can consider

emerging themes and the policy and practice implications arising from these.

Reviewed by:
Jon Borthwick
QA Officer

January 2017

Sussex Combined Safeguarding Adults Board Assurance Document – 2017



Sussex Safeguarding Adults Boards Annual Assurance Document for partner agencies.

The purpose of this audit tool is to provide organisations in Sussex with a consistent framework to monitor assess and improve their adult safeguarding arrangements. The framework has been developed so it can be used by a wide range of organisations and includes key considerations of the Care Act 2014, and the principles of Making Safeguarding Personal.

The process is:

- Each organisation signed up to a Safeguarding Adults Board in Sussex is asked to complete the self-assessment by **FRIDAY 26TH MAY 2017**.
- Organisations are required to make a judgement as to how well it is achieving each question based on the following RAG rating:
 - **GREEN** rating – the organisation meets the requirement consistently across the organisation.
 - **AMBER** rating – the requirement is met in part; there may be pockets of excellence and areas for improvement.
 - **RED** rating - the organisation does not meet this requirement.
- Areas with an **amber** or **red** rating must be supported by action to be taken to ensure compliance and the named person from the organisation who will take ownership of the action.
- Any areas identified for improvement which require multi agency support should be forwarded to Quality and Performance function of the SABs who will co-ordinate multi-agency working.
- Agencies who work across more than one Safeguarding Adults Board will be invited to a peer challenge event to take part in July 2017.
- Each organisation will be required to make a self-declaration which will be reported to the Full Safeguarding Adults Board. Where specific policy documents or similar are referenced, it is requested that these are embedded or attached.
- Thereafter the Board will monitor improvement and compliance 6 monthly. The aim would be to see improvement.

The Quality and Performance function of the SAB will keep this audit under review and it may change to reflect changes in legislation, practice guidance and to ensure the continuous improvement of Safeguarding Adults in Sussex.

PLEASE ONLY COMPLETE THE SECTION 'i' RELEVANT TO YOUR AGENCY'S LOCATION

Organisation:		
Name of Senior officer responsible for safeguarding adults		
Name of person completing this audit		
Name of person authorising this audit		
Date audit completed		
Date audit authorised		

Summary of audit findings and identified issues of concern	
List of Red and Amber areas	
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SECTION A: SENIOR MANAGEMENT COMMITMENT TO THE IMPORTANCE OF SAFEGUARDING, MAKING SAFEGUARDING PERSONAL AND PROMOTING THE WELLBEING OF ADULTS WITH CARE AND SUPPORT NEEDS

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
A1	The organisation has a senior staff member who has responsibility to “champion” safeguarding adults throughout.				
A2	Specialist training has been completed by the Senior Manager so they can undertake this responsibility				
A3	Mechanisms are in place for identifying Senior Manager refresher training.				
A4	The organisation is committed to Safeguarding and promoting wellbeing and it is explicitly reflected in strategic documents				

A5	Other Senior Managers are kept informed of all issues relevant to safeguarding and promoting wellbeing				
A6	Your organisation takes steps in line with the Mental Capacity Act where there is reason to identify a lack of capacity				
A7	Procedures clearly identify appropriate recording of formal or informal advocacy support to act in that persons 'best interests'				
A8	Your organisation has arrangements and training in place to access advocacy where appropriate? Please evidence.				
A9	<p>Information is available to adults and their families about safeguarding adults, and who to contact if they have a concern, including access to the Board website.</p> <p>Information is available in a variety of formats for those with specific communication needs</p>				

SECTION B: A CLEAR STATEMENT OF THE ORGANISATION'S RESPONSIBILITIES TOWARDS ADULTS IS AVAILABLE FOR ALL STAFF

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
B1	Organisational procedures and written information reflects the Care Act, Making Safeguarding Personal and Sussex Safeguarding Adults Procedures.				
B2	Commissioned services for adults with care and support needs, address safeguarding and promote wellbeing.				
B3	New staff members are made aware of their responsibilities to safeguard adults through clear induction.				

SECTION C: A CLEAR LINE OF ACCOUNTABILITY WITHIN THE ORGANISATION FOR WORK ON

SAFEGUARDING AND PROMOTING THE WELLBEING OF ADULTS

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
C1	A clear organisational structure identifying all staff with safeguarding responsibility is in place.				
C2	Evidence that staff working with adults receive regular supervision and appraisal.				
C3	All safeguarding concerns raised with the Local Authority are also raised through a named person in your organisation who has this role as part of their job description.				
C4	Your organisation has recognised pathways for progressing safeguarding and quality issues				
C5	Your organisation has arrangements to raise organisational concerns to the SAB that may be relevant to safeguarding.				

C6	Your organisation evidences candour and openness internally and in its relationship to the SAB				

SECTION D: STAFF TRAINING ON SAFEGUARDING AND PROMOTING THE WELLBEING OF ADULTS FOR ALL STAFF, INCLUDING VOLUNTEERS

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
D1	Staff members are trained as appropriate to their roles and responsibilities, including undertaking safeguarding enquiries where required				
D2	Safeguarding adults is integrated into all training and the training needs analysis/plan. This includes Domestic Violence and Abuse, Self-neglect, Modern Slavery and the PREVENT Agenda.				
D3	Safeguarding training is measured to ensure knowledge and competency in recognising abuse and how to raise a concern. This forms part of existing supervision and appraisal systems.				

D4	Safeguarding training is compliant with Sussex Safeguarding Adults Procedures.				
D5	The outcomes of Safeguarding Adult Reviews (SARs) are shared with all to promote learning and sharing of outcomes				

SECTION E: SAFE RECRUITMENT PRACTICE

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
E1	<p>Recruitment procedures within your organisation are compliant with regulatory standards and include:</p> <ul style="list-style-type: none"> • Job description • Full employment history • Interviewing based on quantifiable judgements (including recruitment of volunteers) • Taking up 2 written references, one of which being the last employer • Self-declaration form • Verification of identity, qualifications, and the right to work in the UK 				
E2	<p>Your organisation undertakes DBS checks, prior to appointment. State which staff are not subject to mandatory checks.</p>				

E3	Staff who recruit others have received training concerning safer recruitment.				
E4	All staff attend induction training, are subject to a probationary period, and have regular ongoing training				

SECTION F: EFFECTIVE INTER-AGENCY WORKING TO SAFEGUARD AND PROMOTE THE WELLBEING OF ADULTS

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
F1	Your organisation is represented at Safeguarding Adults Board and/or its sub-groups.				
F2	Staff have access to Multi-Agency Safeguarding Adults Policy & Procedures and know how to identify and report abuse and neglect				
F3	Systems are in place to ensure information is cascaded successfully to front line workers				
F4	Your organisation's commitment to inter-agency working can be found in strategy documents, policies and procedures.				
F5	Staff are aware of the Safeguarding Adults Review protocol and referral mechanisms				

SECTION G: INFORMATION SHARING

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
G1	Your organisation has a policy/procedure document for sharing information with other organisations.				
G2	Staff have access to Information Sharing Guidance and training.				
G3	Staff attend training on information sharing principles and the protocol.				
G4	Your organisation has a policy/procedure concerning written guidance on keeping accurate and up to date client records, together with a statement about confidentiality.				

SECTION H: ALLEGATIONS AGAINST STAFF

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
H1	Your organisation has written procedures for handling complaints and issues of poor quality outside of the safeguarding procedures				
H2	Staff responsible for managing allegations against staff have training to manage the safeguarding processes.				
H3	Your organisation has a whistle-blowing policy and a culture that enables issues about safeguarding and promoting the wellbeing of adults to be addressed.				
H4	Named staff understand information sharing and referral processes to relevant organisations, such as the HCPC, CQC, DBS, Nursing and Midwifery council and any other relevant professional regulatory bodies.				

SECTION I(A): Areas specific to East Sussex Safeguarding Adults Board

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
I1	Your organisation has completed and returned the Domestic Violence and Abuse Assessment tool within East Sussex and has reported progress on identified areas to the East Sussex SAB Manager.				
I2	Information for SAB Annual report 2016-17: Current safeguarding projects and evidence of positive working practice within your agency (please include involvement with Safeguarding Adults Reviews and/or Multi-agency learning reviews and how actions from these have embedded in your service.	Please include progress made in 2016/17 as well as any plans to expand and take this forwards for 2017-18			
Empowerment and Prevention					
Protection and Proportionality					
Partnership and Accountability					

13	<p><i>Thematic areas of inter-agency safeguarding work</i></p> <p>What agencies/ organisations have you worked with on safeguarding projects in 2016/17?</p> <p>Who are you planning on working with going forwards into 2017/18</p>		
14	<p><i>Key summary of data for annual report:</i></p> <p><i>All agencies must complete this information in full</i></p>	Number of staff trained to appropriate safeguarding standard in the last three years (and % of workforce).	
		Name/type of training package used/commissioned?	
		Areas of good practice?	
15	<p><i>Progress against priorities for 2016-17:</i></p> <p>Please outline progress against any priorities your agency/organisation highlighted in the 2015-16 SAB Annual report for the year 2016-</p>		

	17.	
16	Safeguarding Priorities identified for your agency/organisation for 2017-18	

SECTION I(B): Areas specific to Brighton & Hove Safeguarding Adults Board

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	RAG rating	Evidence to support the RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
I1	<p>Information for SAB Annual report 2016-17: Current safeguarding projects and evidence of positive working practice within your agency (please include involvement with the X Safeguarding Adults Review and/or Multi-agency learning reviews and how actions from these have embedded in your service)</p>		<p>Please include progress made in 2016/17 as well as any plans to expand and take this forwards for 2017-18</p>		
			Empowerment and Prevention		
			Protection and Proportionality		
			Partnership and Accountability		
I2	<p><i>Thematic areas of inter-agency safeguarding work</i></p> <p>What agencies/ organisations have you worked with on safeguarding projects in</p>				

	2016/17? Who are you planning on working with going forwards into 2017/18		
13	<i>Key summary of data for annual report:</i> <i>All agencies must complete this information in full</i>	Number of staff trained to appropriate safeguarding standard in the last three years (and % of workforce).	
		Name/type of training package used/commissioned?	
		Areas of good practice?	
14	<i>Progress against priorities for 2016-17:</i> Please outline progress against any priorities your agency/organisation highlighted in the 2015-16 SAB Annual report for the year 2016-17 .		
15	Safeguarding Priorities identified for your agency/organisation for 2017-18		
16	What mechanisms are in place to receive feedback from clients		

<p>and carers – in respect of safeguarding services / interventions</p> <p>What has that feedback been in 2015-16 ? and what changes to safeguarding services/ inventions have been made in response to this feedback?</p>	
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SECTION I (C): Areas specific to West Sussex Safeguarding Adults Board – Information for the Annual report

The boxes within each section can be expanded to facilitate an answer however comprehensive or detailed it may be.

	Requirement	Please include progress made in 2016/17 as well as any plans to expand and take this forwards for 2017-18
I1	<p>Current safeguarding projects and evidence of positive working practice within your agency (please include involvement with Safeguarding Adults Reviews and/or Multi-agency learning reviews and how actions from these have embedded in your service.</p>	<p>Empowerment and Prevention</p> <hr/> <p>Protection and Proportionality</p> <hr/> <p>Partnership and Accountability</p> <hr/>
I2	<p><i>Thematic areas of inter-agency safeguarding work</i></p> <p>What agencies/ organisations have you worked with on safeguarding projects in 2016/17</p> <p>Who are you planning on working with going forwards into 2017/18</p>	

I3	<p>Key summary of data for annual report:</p> <p><i>All agencies must complete this information in full</i></p>	Number of safeguarding concerns raised 2016/17?	
		Numbers that became s42 enquiries?	
		Number of staff trained to appropriate safeguarding standard in the last three years (and % of workforce).	
		Number of EO trained staff?	
		Name/type of training package used/commissioned?	
		Areas of Good practice?	
		Any other safeguarding adults areas of concern?	
I4	<p>Current involvement in Safeguarding Adult Reviews:</p> <p><i>Please include level of involvement and how these reviews have helped your organisation and develop learning and best practice.</i></p>		