



# South Gloucestershire Adult Safeguarding Outcome and Performance Self-Assessment Audit 2016-7 Pilot

# South Gloucestershire Adult Safeguarding Outcome and Performance Self-Assessment Audit - Pilot

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## Introduction

The South Gloucestershire Adult Safeguarding Outcome & Performance Self-Assessment Audit Framework provides a tool to assist Safeguarding Adults Boards to assess, monitor and evidence progress and achievements in relation to meeting adult safeguarding requirements.

This tool has now been adopted by a range of Safeguarding Adults Board in the South West Region as best practice.

There is now a greater emphasis on the involvement of the adult at risk in the process and of the outcomes which are achieved. While the quality of the services provided remains an important consideration, this relates more to the functioning of the organisations. Taking an outcomes focus to the self-assessment process, as this up-date seeks to do, will help to reveal the difference made and demonstrate achievements and improvements as a result of the interventions.

The Board should seek assurance of the effectiveness of safeguarding activity and that safeguarding practice is continually improving and enhancing the quality of life for adults with care and support needs at risk of abuse and neglect in its area, in line with the Care Act and 'Making Safeguarding Personal'.

## Method / Approach

This Outcome and Performance Self-Assessment Audit aims to address key objectives and outcomes to enable Safeguarding Adults Boards (SABs) to be assured that adults with care and support needs whose situations mean they may be experiencing or at risk of abuse or neglect are being kept safe.

To ensure the audit is relevant to the Peer Challenge process, it is closely aligned to the **Standards for Adult Safeguarding (2012) to focus on** four themes:

- A. The Difference Being Made** (*Outcomes and Peoples Experiences*)
- B. What is Being Done to Prevent Abuse and Neglect** (*Leadership, Strategy, and Commissioning*)
- C. How Well Things are Managed When Abuse and Neglect Occurs** (*Service Delivery and Effective Practice and Performance and Resource Management*)
- D. How Partners Work Together** (*Local Safeguarding Boards*)

These four themes also reflect the six principles in the **Statement of Government Policy on Adult Safeguarding (2013)** and are the key priorities as set out in the **South Gloucestershire Safeguarding Adults Board Strategic Plan 2016/7**

- Empowerment
- Prevention
- Proportionality
- Protection
- Partnership
- Accountability

The aim is for the Audit to be used to provide a consistent approach to quality and performance, which is particularly useful with organisations and agencies who work across local authority boundaries

# Self-Assessment Audit Themes

## A - The Difference Being Made

### Questions to consider.

### Prompts and Aspects

**A1. Is there a clear focus on understanding the wishes/desired outcomes for the adult at risk of abuse and neglect?**

- Is there an emphasis on outcomes in strategies, plans and progress reporting?
- Do performance reports include outcome measures?
- What evidence is there that a difference is being made as a result of adult safeguarding interventions?

**A2. How do you know that adults with care and support needs at risk of abuse and neglect are being safeguarded?**

- What systems and processes are in place to help deliver effective safeguarding?
- Are there clear guidelines?
- How does the practice of staff help to deliver effective safeguarding?
- Are all relevant people involved aware of adult safeguarding?
- Are staff enabled to use professional judgement effectively?
- Are adults at risk seen alone and given the opportunity to disclose their concerns and experiences?
- How are those involved in the safeguarding process supported in their roles?

**A3. How do you involve adults with care and support needs at risk of abuse and neglect (and/or their carers/advocates or representatives)?**

- How do you promote the perspectives of patients / people using services / carers and ensure these are considered for inclusion in all appropriate strategies, and policies?
- What mechanisms are there for gathering and logging the experiences and views of those involved throughout the safeguarding enquiry?
- What evidence is there of patients / people using services / carers satisfaction?
- How is the information used to improve services?
- How is the information disseminated?

## A - The Difference Being Made Assessment and Actions

Since your previous audit last year how have you taken forward your improvements, developments and immediate actions?

What are you doing particularly well?

What are your top priorities for improvement and development in the coming year?

Can you identify any risks in you being able to achieve these?

Are there any immediate actions required?

If you were asked to rate your current status in this theme, what would it be?

Red

Amber

Green

## Self-Assessment Audit Themes

### B - What is Being Done to Prevent Abuse and Neglect

#### Questions to consider.

#### Prompts and Aspects

**B1. Is there comprehensive accessible public information and advice about keeping safe and what constitutes abuse of adults with care and support needs?**

- How do you ensure service users/ carers/ advocates/ visitors/ relatives/members of the public receive information about keeping safe?
- Is information available to signpost any adult to appropriate sources of advice and support?
- How is public information disseminated?
- What formats are used? (e.g. leaflets, posters, websites, adverts on buses etc.)
- How frequently is information refreshed and updated?
- How do you ensure service users/ carers/ advocates/ visitors/ relatives/members of the public receive information about how to raise concerns if they suspect or experience abuse, harm or neglect?
- Do you run awareness campaigns or events?

**B2. How do you communicate the importance of adult safeguarding to staff at all levels in your organisation?**

- How do you enable staff to recognise poor practice or abuse and to know how to respond appropriately?
- How do you ensure consistency of information?
- Is there a code of conduct for all staff and volunteers that sets clear standards for relationships between people in positions of trust and patients / people using services / advocates / carers?
- How frequently does the executive body receive reports about adult safeguarding?

## Self-Assessment Audit Themes

### B - What is Being Done to Prevent Abuse and Neglect

#### Questions to consider.

#### Prompts and Aspects

#### **B3. Does your organisation have safer recruitment policies and procedures?**

- When your recruitment policies and procedures were last reviewed and/or updated?
- Who has responsibility for ensuring those policies and procedures are effective?
- How would you know if these policies and procedures were not fit for purpose?
- Are there systems in place to check and verify all information provided by job applicants about previous employment, training and experience?
- Are all staff and volunteers who work with adults with care and support needs, DBS checked and, where appropriate, registered with professional bodies?

#### **B4. Do your organisation's documents (e.g. policy, procedures, practice guidance, contractual arrangements) include specific reference to adult safeguarding?**

- Are there multi-agency procedures that guide staff through the process of recognition of abuse, how to raise a concern, and support the process?
- Do you have internal policies and guidance that clearly link to the 2015 Care Act compliant multi-agency adult safeguarding policy which informs staff, service users, carers, advocates, relatives and representatives how to report concerns?
- Do you have a whistle blowing policy which all staff are aware of that will assist them in escalating concerns and reporting poor practice?
- Does your organisation have an information sharing protocol which all staff know about and can access guidance on information sharing?
- Is there evidence of a commitment to independence, respect, dignity, choice, person centred approaches and protection from harm within contracts between providers of services and those using the services?
- How do you know that staff are aware of these documents and know how to access them?

## Self-Assessment Audit Themes

### B - What is Being Done to Prevent Abuse and Neglect

#### Questions to consider.

#### Prompts and Aspects

**B5. Are people who organise their own support and services, made aware of the potential for harm, neglect and abuse and are they assisted to manage any risks.**

- Do you have information and advice for people who fund their own care, on how to access care and support, and on their rights more generally?
- Are there strategies in place for your organisation to consider action as soon as you are made aware that a person funding their own care is at risk of abuse or neglect?

**B6. Does your workforce development training programme include adult safeguarding?**

- Is the training provided internally or externally?
- Do your staff have access to levels of adult safeguarding training appropriate for their job roles?
- What evidence do you record and report about take up and attendance of training and CPD?
- How are you assured training has made a difference in practice?
- How is the quality, impact and effectiveness of training monitored and followed up?
- Do you provide refreshers? How frequently?

## B - What is Being Done to Prevent Abuse and Neglect Assessment and Actions

Since your previous audit last year how have you taken forward your improvements, developments and immediate actions?

What are you doing particularly well?

What are your top priorities for improvement and development in the coming year?

Can you identify any risks in you being able to achieve these?

Are there any immediate actions required?

If you were asked to rate your current status in this theme, what would it be?

Red

Amber

Green

## Self-Assessment Audit Themes

### C - How Well Things are Managed When Abuse and Neglect Occurs

#### Questions to consider.

#### Prompts and Aspects

**C1. Is prompt action taken and appropriate support provided in response to concerns raised by staff, people using services, patients, advocates, carers or members of the public?**

- What evidence can you provide that action was taken in a timely manner?
- Are adults with care and support needs (and /or their advocate, carer or representative) involved at all stages of the safeguarding process and any protection plan? (examples of this to evidence)
- What advocacy services are available to support adults who have substantial difficulty in taking part in the safeguarding process?
- What management oversight is there of the actions taken?
- Are there opportunities for staff and volunteers to debrief and reflect following safeguarding concerns?

**C2. Does your organisation have clear and accurate systems to record all actual, alleged and potential abuse or neglect?**

- Is the analysis of risk documented?
- Is recording undertaken in a timely manner?
- How frequently are records checked/audited for accuracy, relevance and timeliness?

**C3. Does your organisation have quality measures for adult safeguarding which show the desired outcomes for the people are being met?**

- How frequently are these collected?
- How is this information used to improve services?
- Who receives reports regarding these outcome measures?
- Do management scrutinise these reports? (frequency?)

**C4. How does your organisation ensure that the general duty of equality is met for adults with care and support needs?**

- How do you ensure that there is no discrimination on the basis of race, religious belief, culture, sexual orientation, gender, age, disability, nationality or socio-economic disadvantage?

## Self-Assessment Audit Themes

### C - How Well Things are Managed When Abuse and Neglect Occurs

Questions to consider.

Prompts and Aspects

**C5. Can your organisation demonstrate that it complies with the principles of the Mental Capacity Act?**

- How do you audit/evidence the quality of Mental Capacity Assessments?
- Do staff undertake Mental Capacity Training?
- Are Mental Capacity Assessments carried out in an appropriate and timely manner?
- How do you ensure relevant policies and legislation are being followed?

## C - How Well Things are Managed When Abuse and Neglect Occurs Assessment and Actions

Since your previous audit last year how have you taken forward your improvements, developments and immediate actions?

What are you doing particularly well?

What are your top priorities for improvement and development in the coming year?

Can you identify any risks in you being able to achieve these?

Are there any immediate actions required?

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## Self-Assessment Audit Themes

### D - How Partners Work Together

#### Questions to consider.

#### Prompts and Aspects

**D1. Are senior managers from your organisation regularly represented on the South Gloucestershire Safeguarding Adults Board (SGSAB)?**

- Does the representative have delegated decision making authority?
- If your organisations representative is not able to attend the SGSAB, is there a nominated deputy who attends in their place?
- What resources does your organisation devote to ensure the SGSAB is able to fulfil its responsibilities?
- How are actions and information from the SGSAB disseminated within your organisation?
- Is there a clear vision for the SGSAB which is endorsed by your organisation?

**D2. Do you have an identified lead for safeguarding adults with specific responsibility for championing and promoting the importance of safeguarding adults with care and support needs?**

- At what level in the organisation is the responsible person?
- Are there clearly stated requirements for this role?
- Have they undertaken appropriate training for this role?
- Are staff aware who the champion is? (how is this communicated?)

**D3. Does your organisation respond to all requests from the SGSAB for data and information related to adult safeguarding?**

- Do you contribute to the SGSABs Annual Report and Strategic Plan?
- Does your organisations Strategic Plan have linkages or a relationship to the SGSAB Strategic Plan, which identifies priorities, targets and accountability for achieving them?
- Does your organisation's Strategic Plan and Annual Report reflect the views of patients / people using services / advocates / carers?
- Do you have a clear and effective performance management framework in place to gather information on a regular basis?
- Do you have systems to identify risk and address weak performance?

**D4. Does your organisation comply with information sharing guidelines and protocols?**

- Who is responsible for ensuring that information sharing is appropriate and effective?

## D - How Partners Work Together Assessment and Actions

Since your previous audit last year how have you taken forward your improvements, developments and immediate actions?

What are you doing particularly well?

What are your top priorities for improvement and development in the coming year?

Can you identify any risks in you being able to achieve these?

Are there any immediate actions required?

If you were asked to rate your current status in this theme, what would it be?

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