

Working Together *to safeguard adults*

in Solihull

Solihull Safeguarding Adults

Audit of strategic and organisational arrangements to safeguard and promote the wellbeing of Adults at Risk

This audit of strategic and organisational arrangements to safeguard and promote the wellbeing of Adults at Risk has been developed by Solihull's Safeguarding Adults Quality and Audit Sub Committee.

The purpose of this tool is to provide all organisations in the Borough with a consistent framework to assess monitor and improve their Safeguarding Adults arrangements. The framework has been developed so it can be used by a wide range of organisations.

This audit mirrors the Section 11 audit framework from Solihull LSCB (Local Safeguarding Children's Board).

The process is:

- Each organisation signed up to the Safeguarding Adults Board is asked to complete their own self assessment between 1st September 2012 – 12th November 2012.
- 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 by whom.
- Any areas identified for improvement which require multi agency support should be forwarded to the Safeguarding Adults Quality and Audit Sub Committee who will co-ordinate multi agency working.

- Each organisation will be required to make a self declaration by the 12th November 2012 which will be reported to the Board Meeting December 2012.
- Thereafter the Board through a KPI will monitor improvement and compliance 6 monthly (July and December). The aim would be to see improvement.
- The Quality and Audit committee will keep this audit under review and may change it to reflect changes in legislation, best practice and to ensure the continuous improvement of Safeguarding Adults in Solihull.
- Peer review may be introduced.

Organisation:			
Senior officer responsible for safeguarding adults:	Name:	Designation:	
	Tel no:	Email:	
Name of person completing this audit:	Name:	Designation:	
	Tel no:	Email:	
Name of person authorising this audit:	Name:	Designation:	
	Tel no:	Email:	
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 AND PROMOTING THE WELLBEING OF ADULTS AT RISK

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 RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
A1	<p>The organisation has a senior staff member who has responsibility to “champion” safeguarding throughout.</p> <p><i>Please state what position has this and how this role is fulfilled?</i></p>				
A2	<p>The Senior Manager has undertaken training so they can undertake this responsibility</p> <p><i>Please state what training has been undertaken and when.</i></p>				
A3	<p>The organisation is committed to Safeguarding and promoting wellbeing and it is explicitly reflected in strategic documents</p> <p><i>Please state the specific documents, dates and signatory.</i></p>				
A4	<p>Other Senior Managers are kept informed of all issues relevant to safeguarding and promoting wellbeing</p> <p><i>Please state how and when.</i></p>				

A5	The views of adults at risk are specifically taken into account concerning both individual decisions and the establishment of services? <i>Please state how.</i>				
A6	Mechanisms are in place for identifying Level 1, Level 2 and Level 3 senior officer and refresher training. <i>Please state how.</i>				

SECTION B: A CLEAR STATEMENT OF THE ORGANISATION'S RESPONSIBILITIES TOWARDS ADULTS AT RISK 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 RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
B1	Specific documents are in place, e.g. Procedures, that reflect your organisation responsibility to safeguard and promote the wellbeing of adults at risk.				
B2	Commissioned services for adults at risk, are addressing safeguarding and promoting wellbeing.				
B3	New staff are made aware of their responsibilities to safeguard adults at risk and promote wellbeing.				

SECTION C: A CLEAR LINE OF ACCOUNTABILITY WITHIN THE ORGANISATION FOR WORK ON SAFEGUARDING AND PROMOTING THE WELLBEING OF ADULTS AT RISK

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 RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
C1	A line of accountabilities, from an individual employee up to the most senior person with overall responsibility (position, not name) is shown diagrammatically in your procedures.~				
C2	Each individual has responsibility to safeguard and promote wellbeing stated within their job description.				
C3	Your organisation has a policy that sets out the frequency that employees in contact with adults at risk receive regular supervision and an appraisal.				
C4	A designated individual to whom concerns about an adult at risk are reported to, has a job description with specific commitments <i>Please specify the post holder</i>				

C5	A Safeguarding Adults policy / statement is in place and staff are made aware of this policy <i>Please specify who is responsible for the review and updating of the policy.</i>				

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

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

D	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
D1	<p>Staff are trained to Level 1, 2 or 3 as appropriate to their roles and responsibilities.</p> <p><i>Please specify the numbers or percentage of staff trained to each level.</i></p> <p><i>Also state how your organisation delivers Level 1, 2 and 3 training.</i></p>				
D2	<p>Safeguarding Adults is integrated into all training and the training needs analysis/plan.</p>				
D3	<p>Your organisation has a framework to assess safeguarding adult's competency which is integrated into existing supervision and appraisal systems.</p>				

SECTION E: SAFE RECRUITMENT PRACTICE

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

E	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
E1	<p>Your organisation has robust recruitment procedures including:</p> <ul style="list-style-type: none"> • Job description • Obtaining full employment history via an application form, • Interviewing prospective employees / volunteers • Taking up 2 written references • Self-declaration form • Verification of identify and qualifications. <p><i>How is this evidenced?</i></p> <p><i>Please advise if any staff are excluded from any of the above aspects of the recruitment procedures.</i></p> <p><i>State roles/posts not individual names</i></p>				

E2	<p>Your organisation undertakes CRB checks, prior to appointment.</p> <p>State which staff are not subject to mandatory checks.</p> <p><i>State roles/posts not individual names.</i></p>				
E3	<p>Staff who recruit others have received training concerning safer recruitment.</p> <p><i>Please state dates training was undertaken.</i></p>				
E4	<p>All staff attend induction and are subject to a probationary period.</p> <p><i>Please state any reason why anyone would not attend induction or be subject to a probationary period.</i></p>				

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

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

F	Requirement	RAG Rating	Evidence to support 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 it's sub-groups.				
F2	Staff have access to Solihull's Safeguarding Adults Multi Agency procedures? <i>Please state if any posts in your organisation will not be expected to have access.</i>				
F3	Staff have access to and/or have received any documents relating to safeguarding. <i>Please specify the documents.</i>				
F4	Your organisation's commitment to inter-agency working can be found in strategy documents, policies and procedures. <i>Please specify the documents.</i>				

SECTION G: INFORMATION SHARING

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

G	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
G1	<p>Your organisation has a policy/procedure document for sharing information with other organisations.</p> <p><i>When are the protocols due to be reviewed?</i></p> <p><i>If not please state specifically why not.</i></p> <p><i>If Yes, continue to Number 2.</i></p> <p><i>If No, go to Number 4.</i></p>				
G2	<p>The protocol is in accordance with the Solihull's Safeguarding Adults Information Sharing Protocol 2012.</p>				
G3	<p>Staff have access to the Information Sharing Guidance and training.</p> <p><i>If not, please specify exceptions.</i></p>				
G4	<p>Staff attend training on information sharing principles and the protocol.</p> <p><i>Please state any posts that are excluded from training on the protocol and why.</i></p>				

G5	Your organisation has a policy/ procedure concerning written guidance on keeping accurate and up to date client records, together with a statement about confidentiality. <i>Where can staff access the document/s?</i>				
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SECTION H: ALLEGATIONS AGAINST STAFF

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

H	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
H1	Your organisation has written procedures for handling complaints and allegations against staff and how this is accessed by staff.				
H2	Staff responsible for managing allegations against staff are trained to manage the process? <i>Please state the dates training has been undertaken. If N/A why?</i>				
H3	Your organisation has a whistle-blowing policy and a culture that enables issues about safeguarding and promoting the wellbeing of adults at risk to be addressed. <i>How are staff encouraged/trained?</i>				

SECTION I: ADDRESSING ISSUES OF DIVERSITY

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

I	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
I1	<p>Your organisation records gender, age, disability, faith, language and ethnicity of service-users.</p> <p><i>Please specify how.</i></p> <p><i>If N/A why?</i></p>				
I2	<p>Your organisation has a code of conduct for staff working directly with adults at risk, concerning acceptable and unacceptable behaviour including discrimination and bullying.</p> <p><i>If not please state why.</i></p>				
I3	<p>Issues of diversity are addressed in safeguarding training to staff.</p> <p><i>Please explain how</i></p>				
I4	<p>Issues of diversity are addressed in your Safeguarding Adults Policy and Procedures.</p> <p><i>If not, please state why.</i></p>				

SECTION J: PROCESSES AND PROCEDURES ARE IN PLACE TO CREATE AND MAINTAIN A SAFE WORKING ENVIRONMENT WHERE ACTIVITIES (CARE & SUPPORT) ARE PROVIDED DIRECTLY TO ADULTS AT RISK

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

J	Requirement	RAG Rating	Evidence to support RAG rating	Additional Action to ensure compliance and by whom	Progress or date completed
J1	<p>Your organisation has specific procedures to identify and manage any potential sources of harm to adults at risk.</p> <p><i>State how are staff made aware of and gain access.</i></p>				
J2	<p>Your organisation has written information available to adults at risk and their families about safeguarding adults including who to contact if they are concerned about an adult at risk.</p>				
J3	<p>Information provided to adults at risk and their families is provided in other formats and languages.</p> <p><i>If there are any issues or restraints concerning multi format or language distribution? Please specify.</i></p>				