

**Safeguarding Adults Audit Framework**

**Version for voluntary completion 2022-23**  
**SECTION A: LEADERSHIP, STRATEGY, GOVERNANCE, ORGANISATIONAL CULTURE**

Please provide the evidence to support YES responses

| A1 The organisation has a senior staff member that has the responsibility to ‘champion’ safeguarding. | A2 The organisation is committed to safeguarding adults and promoting wellbeing and this is explicitly reflected in the organisation. | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Do you have an organisational lead for safeguarding adults? | ☐ Does your organisation have a policy on adult safeguarding? | ☐ Job description for adult safeguarding  ☐ Safeguarding training records  ☐ Organisational chart  ☐ Safeguarding policies/guidance/strategies  ☐ Mission statement/corporate plan.  ☐ Annual report  ☐ Project plan(s)  ☐ Improvement plans  ☐ Reports that look at   * learning from incidents. * Service user feedback and engagement * Thematic reviews * Board and committee reports * Performance and audit reports | |
| ☐ Does the job description for this role include adult safeguarding? | ☐ Does your organisation have a mission statement that states a commitment to safeguarding adults and promoting wellbeing? |
| ☐ What safeguarding training has been undertaken to provide the skills to undertake their responsibilities and duties? |  |
| A3 There is demonstrable commitment at the Trustee Board and Management Level (or equivalent) to Safeguarding Adults. | A4 The organisation evidences candour and openness internally and in its relationship to the SAB. |
| ☐ Does your organisation review  concerns, referrals, complaints and  serious incidents? | ☐ Does your organisation have a ‘Duty of Candour Policy’? |
| A5 The organisation ensures high quality legal advice is made available to staff on both safeguarding adults and the Mental Capacity Act/DoLS, with legal literacy evidenced in safeguarding cases. (where relevant) | | ☐ Committee and board reports and agendas |
| ☐ Does your organisation have access to legal advice? | |
| ☐ Does your organisation provide updates on case law? | |

**SECTION B: THE ORGANISATION’S RESPONSIBILITIES TOWARDS ADULTS AT RISK ARE CLEAR FOR ALL STAFF AND FOR COMMISSIONED SERVICES**

| B1 Organisational policies refer to Safeguarding Adults and all relevant legislation (including but not limited to MCA, Human Rights Act and so forth). | B2 Where services are commissioned, agreements reflect the requirement between commissioners and providers to have regard to the need to safeguard, and promote the wellbeing of people who use services, including compliance with MCA and DoLS. | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Do your policies refer to the Care Act 2014, The Mental Capacity Act 2005, Deprivation of Liberty Safeguards and Human Rights legislation (where relevant) | ☐ Do you commission or sub-contract services?  If no please go to B3 | ☐ Safeguarding training materials  ☐  ☐ Guidance on reporting concerns  ☐ Guidance on types of abuse  ☐ Performance reports  ☐ Improvement plans  ☐ Other | |
| B3: The organisation takes a broad view of what constitutes abuse and demonstrates awareness of statutory duty to report; evidence of learning and engagement with concerns/issues established as being included under the safeguarding remit in the Care and Support statutory guidance. | |
| ☐ Does your organisation provide guidance on how to report abuse?  ☐ Does your organisation train staff or raise awareness on the London –Wide Safeguarding Adults Policy and Procedures?   * Does your organisation provide training to staff on different aspects of adult safeguarding? | |
| ☐ Committee and board reports and agendas |

**SECTION C: THE ORGANISATION’S APPROACH TO WORKFORCE & WORKPLACE ISSUES REFLECTS A COMMITMENT TO SAFEGUARDING AND PROMOTING THE WELLBEING OF ADULTS AT RISK**

| C1 Your organisation has robust and safe recruitment procedures and practices in line with guidance from the Safeguarding Adults Board and relevant learning from reviews. | C2 The organisation’s staff supervision policy and reflective practice supports effective safeguarding. It recognises that skilled and knowledgeable supervision focused on outcomes for adults is critical in safeguarding work and enable staff to work confidently and competently with difficult and sensitive situations | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Does your organisation routinely undertake DBS checks for staff?  ☐ Does your organisation monitor compliance with DBS? | ☐ Does your organisation have a supervision policy that reflects guidance for appraisals and supervision of staff working with vulnerable adults?  ☐ Do staff have regular reviews that focus on reflective practice?   * Does your organisation discuss adult safeguarding in team meetings? | ☐ HR policies  ☐ DBS policy  ☐ Induction materials  ☐ Supervision policy  ☐ Supervision audits  ☐ Competency framework and training policy  ☐ Safeguarding training records  ☐ Training programme  ☐ Case management audits and reviews  ☐ Duty of Candour policy  ☐ Complaints, whistleblowing policy and procedures  ☐ Other | |
| ☐ Does your organisation include safeguarding adults in its induction? |  |
| C3 All staff working with adults at risk should receive training appropriate and work within an environment to enable them to competently respond to safeguarding concerns and meet the needs of adults at risk. | C4 Your organisation has written guidance & procedures for handling complaints and allegations against staff and this is clearly accessible to staff. |
| ☐ Does your organisation review concerns, referrals, complaints and serious incidents?  ☐ Is feedback provided on an individual and organization wide basis? | ☐ Is there a lead to investigate any complaints that are made against staff?   * Do you know when and how to make referrals to the Disclosure Barring Service? |

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

| D1 Your organisation is represented and engaged at the SAB and/or its sub-groups. | D2 The organisation evidences its engagement and transparency with the partnership in safeguarding adults through compliancy with London Multi Agency Adult Safeguarding Policy & Procedures 2016. | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Is there governance in place to ensure internal briefings on multi-agency working, including that of the SAB and sub-committees? | ☐ Does your organisation share learning from audits, serious incidents, and case reviews including SARs and Domestic Homicide Reviews? | ☐ Internal reports and agendas  ☐ Terms of reference  ☐ briefings  ☐ SAR action plans and reports  ☐ Audit reports  ☐ SAR training and learning events  ☐ Multi-agency action plans  ☐ Other  ☐ Information sharing agreements and guidance  ☐ Self-Neglect and Hoarding Policy  ☐ Awareness raising materials  ☐ Information on prevention initiatives and projects  ☐ Risk Management Framework/Process  ☐ Terms of reference for case management or review groups including provider concerns meetings. | |
| D3 The organisation evidences that action plans from Safeguarding Adult Reviews (SARs) and Domestic Homicide Reviews (DHRs) nationally and locally drive improvement internally and across the partnership. | D4 Your organisation has policy/ procedure/guidance setting out clearly the process and principles relating to sharing information across relevant agencies. |
| ☐ Does your organisation have a process for reviewing the impact and outcomes of recommendations made by SARs? | ☐ Is your organisation signed up to Multi-agency information sharing agreements?  ☐ Does your organisation provide guidance on what information can be shared between agencies when dealing with vulnerable adults? |
| D5 Your organisation has a focus on the need for preventing abuse and neglect. | | ☐ Committee and board reports and agendas |
| ☐ Does your organisation undertake prevention activities to help stop abuse and neglect occuring?  ☐ Does your organisation have a risk management framework in place for adults at risk? | |
|  | |

**SECTION E: ADDRESSING ISSUES OF DIVERSITY**

| \*E1 Your organisation delivers in accordance with the public-sector Equality Duty. This is used to inform safeguarding strategy, including taking measures to promote equality and reduce inequalities in access to and outcomes from services. | \*E2 Your organisation takes steps to ensure that information is obtained from individuals who use your service about what outcomes they wish from the safeguarding process and whether they have received this. | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ How does your organisation ensure that equality and diversity legislation and guidance is embedded into your work?   * Does your organisation undertaken equality impact assessments when commissioning services, initiating projects or undertaking service changes? | ☐ Does your organisation collect data on service user outcomes? If so, how have you used this information to improve practice? | ☐ Equality and Diversity policy  ☐ Equality impact assessments  ☐ Equal access measures  ☐ Service user consultation  ☐ Other | |

**SECTION F:** **THE SERVICE CAN DEMONSTRATE THAT PEOPLE WHO USE SERVICES ARE INFORMED ABOUT SAFEGUARDING AND EMPOWERED BY THE ORGANISATION’S RESPONSES**

| \*F1 The principle of Making Safeguarding Personal is at the heart of the organisation’s practice. | \*F2 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. | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Do you staff understand what Making Safeguarding Personal is?  ☐ Does your organisation provide or promote training on Making Safeguarding Personal?  ☐ Is Making Safeguarding Personal referenced in safeguarding policies and guidance? | ☐ Does your organisation provide information for service users on safeguarding?  ☐ Is this information in accessible formats?  ☐ Does your organisation refer adults at risk to advocacy services? | ☐ Service user information on safeguarding  ☐ Advocacy referral process  ☐ Other | |
| \*F3 Your organisation supports individuals to access their right to an independent advocate *where an adult has substantial difficulty in being involved in the safeguarding process* and they have no suitable representation or support. (Care and support statutory guidance 14.43) | |
| ☐ Does your organisation provide guidance on referring to advocacy services? | |
| ☐ Does your organisation collect data on advocacy referrals? | |

**SECTION G:** **THE SERVICE CAN DEMONSTRATE THAT THEY HAVE APPLIED THE LEARNING FROM SARs TO PRACTICE**

| \*G1 Your Organisation is aware of the SARs, the recommendations from the SARs and the resulting action plans and has translated these into changes in the organisations processes to prevent repeat of similar concerns | \*G2 Your organisation is assured that the learning from the SARs has been disseminated to staff | **Suggested evidence for standard** | **Overall RAG** |
| --- | --- | --- | --- |
| ☐ Has your organisation been involved with a Safeguarding Adults Review?  If no, please mark this section as N/A  If yes: | ☐ Has your organisation a process in place for disseminating learning from reviews? | ☐ SAR action plans  ☐ Committee agendas and reports  ☐ SAR learning materials  ☐ Communication plans  ☐ Briefing notes  ☐ Risk panel referrals  ☐ Improvement plans  ☐ Multi-agency Risk management  ☐ Risk management training materials  ☐ Escalation protocols and guidance  ☐ Other | |
| ☐ Can your organisation demonstrate change to practice because of a review? | ☐ Does your organisation train front line staff in learning from reviews? |
| \*G3 Your organisation can assure the Board that the key findings from the SARs have been effectively incorporated into your organisation’s culture | \*G4 Your organisation in a commissioning role is assured that providers are meeting their responsibilities in relation to the SARs |
| ☐ Does your organisation report to the Trustees/Management and Team meetings on SAR learning?  ☐ Can your organisation demonstrate that learning from reviews has been incorporated into your organisations priorities? | ☐ Has your organisation a process in place to review actions plan and monitor implementation of recommendations for commissioned services? |