



Quality Assurance Arrangements Guidance

June 2023

Contents

Overview.....	2
Guidance on completing Questionnaire	2
Analysis of Responses.....	3
Timeline of Process	3
Frequently Asked Questions	4
Appendix 1: Example of a questionnaire completed by a District & Borough Local Authority	6
Appendix 2: Example of a questionnaire completed by a Social Care Service Provider	11
Appendix 3: Example of a questionnaire completed by an NHS Provider Trust.....	16
Appendix 4: Quality Assurance Questionnaire A.....	22
Appendix 5: Quality Assurance Questionnaire B.....	27

Overview

The Quality Assurance arrangements for the Surrey Safeguarding Adults Board consists of separate reporting requirements:

- A set of data that goes to each Board meeting provided by Surrey County Council Adult Social Care. The Board meets four times a year. This data relates to adult safeguarding enquiries under s42 of the Care Act 2014 and includes the number of enquiries starting and ending in the period, what impact they have had and other relevant information
- An annual reporting Questionnaire A¹ to be completed by the following organisations:
 - Surrey Heartlands ICB
 - Frimley ICB
 - Surrey County Council
 - Surrey County Council Adult Social Care
 - Surrey Police
 - District and Boroughs
 - Health Trusts
 - 111
 - Healthwatch
 - Private Health hospitals
 - Probation Services
- An annual reporting Questionnaire B for Surrey Prisons
- An annual reporting Questionnaire C² for Care homes, Domiciliary Care, and supported living schemes

All reports completed by organisations will be received by Surrey Safeguarding Adults Board's Quality Assurance (QA) sub-group. The QA sub-group will scrutinise the reports and highlight to organisations and the Safeguarding Adults Board key issues.

Guidance on completing Questionnaire

In completing questionnaires, we aim to capture business as usual in relation to how your organisation recognises and respond to adult safeguarding work. It should be fairly easy to complete as you will be aware of the relevant processes in your area. The questionnaire aims to assist the board in understanding your safeguarding activities and by completing the relevant questionnaire you will inform and provide assurance to the board regarding:

- How you identify issues regarding safeguarding
- How you escalate issues
- How you embed the lessons from when things do not go well
- How the board can assist you with your safeguarding activities

The questions should be used as a guide. Please include any additional information in order to further provide assurance to the Board. Although the questions are in word format it is acceptable and indeed helpful to include any relevant measures of performance within or in addition to the questionnaire.

A commentary regarding your priorities for the coming year would be helpful as well as a retrospective look back on the previous year regarding what you have achieved and what did not go so well and why. Commentary on how you incorporated feedback from previous QA returns would be helpful to show how your organisation has taken learning from the QA process on board. Also highlighting if there any known barriers to the delivery of your priorities and knowing how the Board can help with removing these would be useful.

¹ Template A has been based on the "[Adult Safeguarding Improvement Tool](#)" (March 2015) produced by the Local Government Association / ADASS / ACPO / NHS Confederation and NHS Clinical Commissioners

² Completed in conjunction with Surrey Heartlands ICB

Analysis of Responses

The Surrey SAB QA subgroup will analyse all the responses from organisations. This will be done with a process to ensure that there is moderation built in to enable consistency of evaluation across organisations.

Feedback will be given to all organisations with an opportunity to have a discussion regarding the analysis if requested.

The analysis will use the following ratings:

- Outstanding
- Good
- Requires Improvement
- Inadequate

Following the analysis, a summary report will be presented to the Surrey Safeguarding Adults Board and Adult Safeguarding Executive.

Some questions within the Questionnaire's may be for information purposes only.

Organisations are being asked to rate themselves against each question and supply a rationale for the rating in Questionnaire A from 2023 onwards.

Timeline of Process

Pre-letters will be sent to all organisations one month prior to the Questionnaire being sent which will advise of the QA Framework and expected date the Questionnaire will be sent.

Organisations will have 3-months to complete their return, this will ensure that any internal governance requirements can be met. There will be a maximum of a 2-week extension provided for extenuating circumstances and this must be agreed, by the QA Subgroup Chair in advance.

Analysis will take place over 2-months and feedback reports being provided to organisations at the end of this period. It may be appropriate for organisations to also be met with

The final summary report will be presented to the Surrey Safeguarding Adults Board and Adult Safeguarding Executive.

Timeline for 2023/24

Date	Action
May 2023	Pre letter sent to organisations by SSAB
June 2023	QA framework and questionnaire sent by SSAB
June/July 2023	Information Session for all organisations
September 2023	QA responses to be returned to SSAB
September/ October 2023	QA analysis by SSAB QA subgroup members
November 2023	Moderation Panels
December 2023	Feedback to organisations, this may include meetings with organisations
Feb/March 2024	Presented to ASE and SSAB

Proposed Timeline for 24/25

Date	Action
April 2024	Pre letter to be sent to organisations by SSAB
May 2024	QA framework and questionnaire to be sent by SSAB
August 2024	QA responses to be returned to SSAB
August/ September 2024	QA analysis by SSAB QA subgroup members
October 2024	Moderation Panels
November 2024	Feedback to organisations, this may include meetings with organisations
Feb/March 2025	Presented to SSAB & ASE

Frequently Asked Questions

1. The information asked for relates to “adult safeguarding work”. What does this mean?

The Care Act and the Care and Support statutory guidance say that all organisations must have an adult safeguarding policy. That should tell you what areas of your organisation’s work are or involve “adult safeguarding work”.

2. What feedback from adults with care and support needs, regarding our safeguarding adults work, would the Board want to know about?

You can decide. It is likely that these are questions that you already ask for your internal governance or quality assurance arrangements, such as routinely collected customer feedback. If you do not already collect these and report on them internally, you might want to consider whether that is something you might plan to do, and let the Board know about those plans.

3. There is a question about an adult safeguarding strategy. Do we have to have one?

No. There is no requirement for organisations to have one. Some organisations will have one. Some organisations may include routine questions about safeguarding issues in their planning and decision making. Report on whatever makes sense for you. You might want to describe how the organisation decided on the arrangements it has arrived at for developing an adult safeguarding strategy, action plan or whatever you have.

4. What is the reporting period that the report should cover?

The SSAB’s Quality Assurance subgroup will include this information when it sends out requests for reports.

5. What if my organisation cannot produce the information requested?

It is fine to say that information is not available, but this should come with an account of what will be done to address the gap or, if it is not possible to do so, an explanation of the reasons for this.

6. Do we have to provide an action plan based on areas where development is required?

The SAB does not require an action plan from your organisation however, if you develop an action plan based on your responses and feel that you would like to share this with the SAB you are welcome to.

7. Will I get a chance to discuss feedback?

All organisations will be provided written feedback and if appropriate a meeting with organisations may be held. Any organisation wishing to discuss the feedback will have the opportunity to do so.

8. Is there an information session I can attend?

All organisations are invited to attend a planned information session. This will also be recorded for those organisations who cannot attend. However, you can also contact the SSAB at any stage to discuss the QA Framework and any queries you may have.

9. How long do organisations have to complete the return?

Organisations will have 3-months to complete the QA Questionnaire. Within this time frame organisations are expected to have ensured any internal governance requirements are completed. If there are extenuating circumstances the SSAB Quality Assurance Subgroup Chair can agree a maximum of a 2-week extension, and this must be agreed in advance. The SAB team will send reminders during the 3-month period.

10. Why don't some of the questions seem relevant to my organisation?

The QA Questionnaire has been developed to cover a wide range of different organisations and therefore some questions may not be relevant to your organisation. If you have any queries about any questions, please contact the SSAB who will be happy to discuss with you.

11. I seem to be answering with the same information in different questions?

If you have already answered in one question and it is relevant information for another question you do not have to repeat the information. You can add a reference to where that information was initially entered.

Appendix 1: Example of a questionnaire completed by a District & Borough Local Authority

Section 1: Current issues of concern

Please describe any work that has been undertaken in relation to improve the prevention, detection, and response to adult safeguarding concerns regarding each of these issues. This might include things like

- **Prevention** – What type of training has been provided? How do you raise awareness of this subject?
- **Detection** – How many safeguarding concerns have been reported to the local authority regarding this issue
 - by your own staff, relating to risks outside your organisation or services
 - by your own staff, where your organisation or services may be the source of risk
 - by third parties, where your organisation or services may be the source of risk
- **Response** – How many safeguarding enquiries have you been asked to contribute to in relation to this area of risk? What has your organisation learned from these? What is being done differently as a result?

If you have any examples of best practise or a case study that could be shared, please include these so that other organisations can learn from it. Or if there are examples where things did not go so well, please share these including what did you do as a result and what have you done to prevent future occurrence?

Are there any gaps or problems with multi-agency working that the Board should be aware of or could assist with?

Domestic abuse of adults with care and support needs
A copy of our action plan following the SAR/DHR mentioned about is attached.
Financial abuse of adults with care and support needs, including scams
We have not done any work in this area during the year but are looking at what can be done next year in regard to scams particularly.
Sexual exploitation of adults with care and support needs
We have not done any work in this area during the year but are looking at what we can do in the next year.
Radicalisation of adults with care and support needs
Our revised procurement process includes clearer expectations around preventing radicalisation, but this is not specifically related to adults with care and support needs.
The content of our training to staff on PREVENT has been updated, and the revisions include information about the additional vulnerabilities to radicalisation that people may have as a result of mental health needs, autism and learning disabilities.
We are not able to comment on numbers of safeguarding concerns and enquiries for any of the questions in this section, as we do not have our register in place yet. Once we have this, we will be able to include this in future responses.
Human trafficking, modern slavery, forced labour, domestic servitude of adults with care and support needs
We have not done any work in this area during the year beyond that already mentioned above.

Section 2: Outcomes for, and the experiences of, people who use your services

What differences has your adult safeguarding work made for people with care and support needs in the past year?

What are you doing differently now from a year ago? How do you know if it is making a difference?

How have you incorporated the feedback from your previous QA response into your organisations adult safeguarding work?

Adult safeguarding is not a stand-alone service or task for our organisation. But it is central to the work we do in several areas, such as environmental health, housing, homelessness, licencing, and community transport.

In the past year we have provided training and awareness raising to our front-line staff, which had an emphasis on what to look out for and how to refer. If our staff have concerns, they are encouraged to liaise with a safeguarding champion or the safeguarding lead for advice on appropriate actions.

Over the next year we plan to put into place improved arrangements for monitoring the quality of the training provided and the uptake by our staff so that we will have a better understanding of whether the training is adequate and relevant for staff and what percentage of staff receive the training, which will help us plan any changes needed to our training arrangements.

We reviewed the feedback received and developed an action plan to improve areas. We also met the SSAB Board manager to understand better the questions that were asked.

How do you gather feedback from adults with care and supports needs regarding your safeguarding adults work?

What have they said about your safeguarding work and the actions you have taken in the past year? What did you do as a result?

We support and encourage our staff to submit concerns where appropriate but do not follow up for feedback from people who use services. We want to improve this so the next step we will be taking will be to develop a register of adult safeguarding concerns and actions. Once we have this, we will be in a better position to consider how we get an understanding of the experiences people have of our contributions to adult safeguarding work.

How do you ensure that making safeguarding personal is incorporated into your adult safeguarding work?

Do you discuss with the person what outcomes they would like before you refer a safeguarding adults concern to adult social care?

Our safeguarding policy has an expectation that, unless there is good reason not to, before referring an adult safeguarding concern to SCC Adult Social Care that we discuss with the person that we will be doing that, what it means, and ask what they hope the adult safeguarding work might achieve. However, we do not have a process in place yet for checking that is happening.

Once we have our register of adult safeguarding concern and actions in place, our safeguarding lead will use this to identify and audit a sample of referrals of adult safeguarding concern that we have made to check if these expectations have been met.

Section 3: Leadership, strategy and working together

What was your organisation's adult safeguarding strategy for the past year? How and why did you decide on this strategy?

We have a safeguarding policy in place, and have work scheduled this year to review it to ensure it reflects current expectations.

We also have a safeguarding strategy in place that comes to an end at the end of this year. Over this year we are developing separate safeguarding children and safeguarding adults strategies to start next year, which will help us focus on these issues.

<p>What are your processes for internal governance around adult safeguarding work?</p> <p>What information does your own Board (or equivalent body) receive about adult safeguarding? How often does it receive this?</p> <p>What did your organisation learn in the past year from your adult safeguarding work? What did your organisation do to act on this learning?</p>
<p>We have an internal Safeguarding Board which meets quarterly, and which reports to the Chief Executive. It maintains a risk register so we can track strategic risks on safeguarding issues and how these are addressed. Twice a year the Safeguarding Board has an item in our staff news bulletin which includes lessons learned from our safeguarding work.</p>
<p>How do people who use your services know what to expect from your organisation about adult safeguarding?</p>
<p>Our safeguarding strategies and policies are published on our website.</p> <p>Request to the Board: It would be helpful to have public facing materials to inform people on what to do if they have a concern.</p>
<p>What has your organisation done this year to ensure your strategies and your commissioning processes are informed by the views and experiences of people who have used your safeguarding services.</p>
<p>We have revised our procurement process. Among the changes have been to set clearer expectations around adult safeguarding, preventing radicalisation, and removing modern slavery from supply chains. A copy of this revised process is attached.</p> <p>Our checks when giving grants to organisations includes a requirement that they save a safeguarding policy in place.</p>
<p>How has your organisation contributed to achieving the aims of Surrey Safeguarding Adults Board's strategic plan for the year?</p> <p>SSAB Strategic Plan 2022-25</p> <p>How has your organisation contributed to the work of Surrey Safeguarding Adults Board generally this year?</p>
<p>We have attended and contributed to meetings of the Board and its sub-groups and task and finish groups. We feedback at a subgroup meeting the work what we as an organisation can support with regarding raising the awareness of safeguarding adults.</p>

Section 4: Commissioning, Service Delivery and Effective Practice

<p>FOR COMMISSIONING ORGANISATIONS ONLY</p> <p>How does your organisation set expectations and standards about adult safeguarding in your commissioning arrangements? How do you monitor this?</p> <p>What have you done this year to better manage and monitor adult safeguarding work in your own organisation and in those you commission services from?</p> <p>What changes has your organisation made to your contracting and monitoring arrangements this year because of what you have learned from adult safeguarding enquiries or SARs?</p>
<p>Any services which are commissioned, contracted, or grant funded must be able to evidence safeguarding policies and training as part of the criteria for receiving the contract/funds.</p> <p>We have a panel of contractors who carry out major adaptations funded by Disabled Facilities Grants. To be added to our list, contractors are asked to confirm that their workers and sub-contractors have / will have suitable DBS clearance. However, we do not carry out independent checks to confirm compliance, so in the coming year we will be reviewing whether it would be feasible for us to do so.</p> <p>We have not made any such changes this year as there has not been any relevant learning from adult safeguarding enquiries or SARs in our area during the period. However, there may have been relevant learning elsewhere that we are not aware of, so we will be adding this issue to the agenda for an upcoming meeting of District and Borough Council safeguarding leads</p>

FOR SERVICE PROVIDERS ONLY

How do you give assurance to your commissioners about your adult safeguarding work? What have you done this year to better manage adult safeguarding work?

This question is not relevant to the work we do.

How does your organisation know that your staff are alert to where there are risks to adults with care and support needs who may be at risk of abuse, and that they act on these concerns?

What adult safeguarding training are staff required to attend, what are your compliance expectations for your mandatory training requirements and are these met?

Safeguarding courses form part of the induction for all staff, and we make use of additional training provided by Surrey Safeguarding Adults Board for specific staff.

This year we will start auditing a sample of our adult safeguarding referrals.

We have mandatory training for all staff, and we expect full compliance. If areas are not meeting expected compliance, we raise this and look at how staff can be supported to ensure they attend training.

What has your organisation done this year to improve how your organisation safeguards people with care and support needs through proper application of the law, including the Care Act, the Mental Health Act, the Mental Capacity Act, PACE, Domestic Abuse and Human Rights legislation?

Our safeguarding lead provided a briefing note for members of our local Community Harm and Risk Management Meeting on how the Care Act, the Mental Health Act, the Mental Capacity Act, and human rights issues can be relevant to community safety and anti-social behaviour issues.

How does your organisation disseminate learning and good practice from Safeguarding Adults work; including safeguarding adults enquires under S42 of the Care Act and Safeguarding Adults Reviews?

How does your organisation monitor the impact on practice following dissemination?

As noted above, we have an adult safeguarding item twice a year in our staff briefing, which includes this. The auditing of our adult safeguarding referrals that starts this year will help us monitor the impact

Section 5: Performance and Resource Management

Please give an example of each of:

- **An adult safeguarding enquiry where your organisation's involvement went well**
- **An adult safeguarding enquiry where your organisation's involvement fell short of what was expected**

This can be in terms of the involvement in the events leading to the concern, in responding to the concern, or both

Work that went well

A member of our Council Tax team came in to contact with someone who had run up a debt on their Council Tax account and became concerned that the person may have care and support needs and be experiencing financial abuse. They made a referral to Adult Social Care and an adult safeguarding enquiry started. During the course of that enquiry, we were able to share information with Adult Social Care and the police that helped put an end to the financial abuse, and there was an arrest of the person suspected of the abuse.

Work that fell short

There was learning for us from a joint Safeguarding Adults Review / Domestic Homicide Review that was published during this year about opportunities that were missed for our services to have worked more closely with other organisations regarding a person with care and support needs who was experiencing domestic abuse.

Which is more typical of your organisation's work?

How do you monitor this?

We are not able to tell, at present. When we have our register of adult safeguarding concerns in place and our auditing of our referrals underway, we will be able to see if that helps us understand this, or if there is more that we need to do.

What have you done this year to shift the balance so more go well?
Following the SAR/DHR mentioned above, we have put in place an action plan to act on the learning identified.
Does your organisation complete audits of your adult safeguarding work? If you do complete audits, what do you do, and how frequently are these audits completed? E.g., do you audit the adult safeguarding concerns your organisation make? Making Safeguarding Personal? Contributions to S42 safeguarding enquires? How do you use the learning from the audits to improve practice? What themes have you identified from your audits?
<i>Please provide a copy of your audit tool</i>
We currently do not carry out audits of our safeguarding adults work, but as noted will be looking at auditing safeguarding concerns made. We will be happy to share the tool once developed with the SSAB.
There were a significant number of safeguarding concerns relating to neglect and acts of omission, with nearly 60% of referrals in the 2021/22 year, having this type of abuse. What is your organisation doing to reduce safeguarding concerns which include neglect and acts of omission when your organisation is the source of the risk?
At this time, we have not identified any safeguarding concerns where our organisation was the source of the risk
What would you want from the Safeguarding Adults Board to assist you to improve your adult safeguarding work?
Nothing at this time.

Appendix 2: Example of a questionnaire completed by a Social Care Service Provider

Section 1: Current issues of concern

Please describe any work that has been undertaken in relation to improve the prevention, detection, and response to adult safeguarding concerns regarding each of these issues. This might include things like

- **Prevention** – What type of training has been provided? How do you raise awareness of this subject?
- **Detection** – How many safeguarding concerns have been reported to the local authority regarding this issue
 - by your own staff, relating to risks outside your organisation or services
 - by your own staff, where your organisation or services may be the source of risk
 - by third parties, where your organisation or services may be the source of risk
- **Response** – How many safeguarding enquiries have you been asked to contribute to in relation to this area of risk? What has your organisation learned from these? What is being done differently as a result?

If you have any examples of best practise or a case study that could be shared, please include these so that other organisations can learn from it. Or if there are examples where things did not go so well, please share these including what did you do as a result and what have you done to prevent future occurrence?

Are there any gaps or problems with multi-agency working that the Board should be aware of or could assist with?

Domestic abuse of adults with care and support needs
We had a session on Domestic Abuse for all our staff to attend as we are aware that DA is not just between partners but may also be a family member. We raised one safeguarding concern last year, but were not involved in the enquiry
Financial abuse of adults with care and support needs, including scams
We have had residents who have experienced attempts at scams by post and by email. We have used information from Trading Standards as the basis of discussions on this at our regular meetings with residents and their family members to make them aware of the issues and what they can do to help keep themselves safe.
Sexual exploitation of adults with care and support needs
None, as this is not a significant issue for our residents.
Radicalisation of adults with care and support needs
Our training expectations for our staff include completing the Home Office's e-learning on Prevent, but this is not a significant issue for our residents.

Human trafficking, modern slavery, forced labour, domestic servitude of adults with care and support needs

None, as this is not a significant issue for our residents.

Section 2: Outcomes for, and the experiences of, people who use your services

What differences has your adult safeguarding work made for people with care and support needs in the past year?

What are you doing differently now from a year ago? How do you know if it is making a difference?

How have you incorporated the feedback from your previous QA response into your organisation adult safeguarding work?

At the E.G. Example Care Home, we have had four adult safeguarding enquiries in the past year. During one of these we identified the risk that residents living with us who are experiencing dementia to a degree that they cannot manage risks to themselves in going out alone could possibly have been able to leave the care home out of sight of our staff. Thankfully there had been no instances of this happening, and we were able to address the issue with some simple adjustments to our main door, preventing the risk of future incidents. We developed an action plan where areas for improvement were noted, and this was reviewed at a regular basis.

How do you gather feedback from adults with care and supports needs regarding your safeguarding adults work?

What have they said about your safeguarding work and the actions you have taken in the past year? What did you do as a result?

When we have been involved in an adult safeguarding enquiry, we give each of the resident's involved (or whoever has been representing the person during the enquiry, such as their family or an advocate) an opportunity to meet with the Registered Manager and give their feedback on what has happened, both the events leading up to the concern and our response to that concern.

Most of the feedback has been positive but in one instance we received some suggestions about improvements we could make to the information we provide to families about what they can expect from us and what to do if they have any questions or concerns. We used those suggestions to improve the information we provide to residents and their families when they first come to us.

We also have regular meetings for residents and their families to attend where they can raise any issues with us. Nobody has raised issues about our adult safeguarding work at these meetings this year.

How do you ensure that making safeguarding personal is incorporated into your adult safeguarding work?

Do you discuss with the person what outcomes they would like before you refer a safeguarding adults concern to adult social care?

We have recently reviewed the Local Government Association / ADASS guidance on [Making Safeguarding Personal for health and social care commissioners and providers](#) and benchmarked ourselves against it. As a result, we amended our adult safeguarding concern recording forms to ensure they include what the person says the outcome they want from any adult safeguarding work done in response to a risk to them of abuse or neglect. If we have not asked them, there is a prompt to record the reason for this. We have had discussions at team meetings on the importance of completing this.

Section 3: Leadership, strategy and working together

What was your organisation's adult safeguarding strategy for the past year? How and why did you decide on this strategy?

As we are not directly members and do not attend meetings of the Safeguarding Adults Board, we are not directly involved in this. However, we reviewed the Board's new Strategy from the Board's website, and use SAB resources to strengthen our adult safeguarding policies and procedures. We have over the course of the year used the resources on the Board's ["Information for Care Homes and Domiciliary Care agencies"](#) page on

its website and once a month at a management meeting, we have had a slot where we have taken one of the resources on this page and used it to review our ways of working.
<p>What are your processes for internal governance around adult safeguarding work?</p> <p>What information does your own Board (or equivalent body) receive about adult safeguarding? How often does it receive this?</p> <p>What did your organisation learn in the past year from your adult safeguarding work? What did your organisation do to act on this learning?</p>
Day-to-day governance is from our paper and electronic recording systems. Once a month, the Registered Manager reports to the Area Manager on the number and nature of new adult safeguarding concerns and enquiries, the progress of existing ones, outcomes and plans for actions arising from ones that have ended during the period, and progress against previous actions.
Please see above for information on action we have taken on learning.
How do people who use your services know what to expect from your organisation about adult safeguarding?
<p>Sources are</p> <ul style="list-style-type: none"> • The information we provide residents and families when the person first moves to our care home. As noted above we had useful feedback from a family about how to improve this • We have information on adult safeguarding, both our own and that from the local authority, on display in our reception area <p>There is information on our website including a resident's brochure, information about our complaints process and links to adult safeguarding information on the local authority website, and links to CQC inspections of the care home</p>
What has your organisation done this year to ensure your strategies and your commissioning processes are informed by the views and experiences of people who have used your safeguarding services.
As we have had limited feedback this year, which we were able to act on directly, this has not been an issue for us during this period.
<p>How has your organisation contributed to achieving the aims of Surrey Safeguarding Adults Board's strategic plan for the year?</p> <p>SSAB Strategic Plan 2022/25</p> <p>How has your organisation contributed to the work of Surrey Safeguarding Adults Board generally this year?</p>
We have joined the SSAB Engagement forum and found this very informative and also ensured we are more aware of the work the SAB does and how we can be involved

Section 4: Commissioning, Service Delivery and Effective Practice

FOR COMMISSIONING ORGANISATIONS ONLY
How does your organisation set expectations and standards about adult safeguarding in your commissioning arrangements? How do you monitor this?
What have you done this year to better manage and monitor adult safeguarding work in your own organisation and in those you commission services from?
What changes has your organisation made to your contracting and monitoring arrangements this year because of what you have learned from adult safeguarding enquiries or SARs?
Not applicable.
FOR SERVICE PROVIDERS ONLY
How do you give assurance to your commissioners about your adult safeguarding work? What have you done this year to better manage adult safeguarding work?
Several local authorities purchase placements with us. The details differ, but they have broadly similar requirements in their contracts with us about safer recruitment, staff training, and recognising, responding to, and referring adult safeguarding concerns, and these are in line with the regulatory requirements that we work to. We work with these local authorities to give them the assurance that we need, and we work with the Surrey County Council Quality Assurance team when needed.

There have been no particular issues this year.
How does your organisation know that your staff are alert to where there are risks to adults with care and support needs who may be at risk of abuse, and that they act on these concerns?
What adult safeguarding training are staff required to attend, what are your compliance expectations for your mandatory training requirements and are these met?
We provide all our staff with adult safeguarding training in line with the needs of their role, and their expectations in our training requirements about when people will refresh this training. We have training records so we can monitor people are up to date All staff are expected to attend mandatory training and we monitor this. We are aware that currently we below compliance expectations and have put in processes to address this and will using agency staff to release staff as required.
What has your organisation done this year to improve how your organisation safeguards people with care and support needs through proper application of the law, including the Care Act, the Mental Health Act, the Mental Capacity Act, PACE, Domestic Abuse and Human Rights legislation?
We have had additional training sessions for our staff this year on the Mental Capacity Act 2005 and the Deprivation of Liberty Safeguards. We have also refreshed our Care Act training for all staff
How does your organisation disseminate learning and good practice from Safeguarding Adults work; including safeguarding adults enquires under S42 of the Care Act and Safeguarding Adults Reviews?
How does your organisation monitor the impact on practice following dissemination?
We have used the learning summaries of Safeguarding Adults Reviews from Surrey SAB's website as the basis of discussions at team meetings. This year we have focused on ensuring that all front-line staff are aware of learning including reception staff.

Section 5: Performance and resource management

Please give an example of each of:
<ul style="list-style-type: none"> • An adult safeguarding enquiry where your organisation's involvement went well • An adult safeguarding enquiry where your organisation's involvement fell short of what was expected
This can be in terms of the involvement in the events leading to the concern, in responding to the concern, or both
An example was given above of an enquiry that went well.
We had an adult safeguarding enquiry relating to an incident where a resident had a fall. We found that the assessment of falls risk had missed some issues that should have been identified. As the person had only recently moved to the care home, there had not yet been the opportunity for an audit or review to pick up on this
Which is more typical of your organisation's work?
How do you monitor this?
With the low number of enquiries, we have had it has been straightforward for our Registered Manager to monitor them all directly. From this we know that the enquiry that went well is more typical of our adult safeguarding work.
What have you done this year to shift the balance so more go well?
We have made sure we have kept our staff's training up to date, which has been a challenge during the COVID pandemic.

Does your organisation complete audits of your adult safeguarding work?

If you do complete audits, what do you do, and how frequently are these audits completed? E.g., do you audit the adult safeguarding concerns your organisation make? Making Safeguarding Personal? Contributions to S42 safeguarding enquires

How do you use the learning from the audits to improve practice?

What themes have you identified from your audits?

Please provide a copy of your audit tool

Currently we do not carry out audits of our safeguarding adults work, and we would like a conversation with the SAB regards progressing this.

There were a significant number of safeguarding concerns relating to neglect and acts of omission, with nearly 60% of referrals in the 2021/22 year, having this type of abuse.

What is your organisation doing to reduce safeguarding concerns which include neglect and acts of omission when your organisation is the source of the risk?

We look at any learning from the S42 safeguarding enquires and identify themes to see if there are areas, we need to focus on to decrease concerns where we are the source of risk. We did a deep dive into all safeguarding concerns regarding medication errors, and this led to us making a procedural change.

What would you want from the Safeguarding Adults Board to assist you to improve your adult safeguarding work?

We would like to discuss an appropriate audit tool

Appendix 3: Example of a questionnaire completed by an NHS Provider Trust

Section 1: Current issues of concern

Please describe any work that has been undertaken in relation to improve the prevention, detection, and response to adult safeguarding concerns regarding each of these issues. This might include things like

- **Prevention** – What type of training has been provided? How do you raise awareness of this subject?
- **Detection** – How many safeguarding concerns have been reported to the local authority regarding this issue
 - by your own staff, relating to risks outside your organisation or services
 - by your own staff, where your organisation or services may be the source of risk
 - by third parties, where your organisation or services may be the source of risk
- **Response** – How many safeguarding enquiries have you been asked to contribute to in relation to this area of risk? What has your organisation learned from these? What is being done differently as a result?

If you have any examples of best practise or a case study that could be shared, please include these so that other organisations can learn from it. Or if there are examples where things did not go so well, please share these including what did you do as a result and what have you done to prevent future occurrence?

Are there any gaps or problems with multi-agency working that the Board should be aware of or could assist with?

Domestic abuse of adults with care and support needs
As part of the Surrey wide initiative, we now have funding in place for an IDVA for two years. We have raised 10 safeguarding concerns in the past year but have not be asked to contribute to any S42 safeguarding enquires
Financial abuse of adults with care and support needs, including scams
We held a session for all staff about scams, with a focus on romance scams. We have not made any safeguarding concerns relating to this in the reporting period
Sexual exploitation of adults with care and support needs
We have done no work in this area during the reporting period. We are looking at including this in our training for next year
Radicalisation of adults with care and support needs
The NHS sets expectations of staff training around Prevent, and we are meeting those expectations. We raised on Prevent referral during the reporting period
Human trafficking, modern slavery, forced labour, domestic servitude of adults with care and support needs
We are not aware of any adult safeguarding concerns touching on these issues relating to our patients in the past year. We have done training in this area for all staff as and shared an example that was in the public domain as a case example. We have not made any safeguarding concerns in relation to these areas.

Section 2: Outcomes for, and the experiences of, people who use your services

What differences has your adult safeguarding work made for people with care and support needs in the past year?

What are you doing differently now from a year ago? How do you know if it is making a difference?

How have you incorporated the feedback from your previous QA response into your organisations adult safeguarding work?

Attached is a copy of our annual report to our Board on our adult safeguarding work, which includes details of what changes we have made over the year and feedback we have received from people using our services. Among the changes we have made

- Governance: We have revised the data set provided to our Safeguarding Board so that it gives detail on the timeliness of our contributions to s42 Care Act adult safeguarding enquiries
- Systems: We have improved the recording of adult safeguarding data on our Datix system which helps prompt good practice and captures data we use for better monitoring of our adult safeguarding work

Practice: Analysis of the learning from a number of adult safeguarding enquiries identified an issue with a type of equipment we were using, which we acted on by moving to a new supplier which has led to a reduction in incidence of the problems we were experiencing

The feedback we received was very valuable and we found discussing this with the people who analysed them very valuable. We realised that in some areas we had not provided sufficiently full answers even though we had done work in that area. We used the feedback to look at areas we needed to strengthen e.g., making safeguarding personal as well as understanding the areas where we still need to progress work

How do you gather feedback from adults with care and supports needs regarding your safeguarding adults work?

What have they said about your safeguarding work and the actions you have taken in the past year? What did you do as a result?

We have ways of capturing feedback from our patients about all issues, which will sometimes include our adult safeguarding work

- We have a Patient Panel which meets each month (meetings of the last meeting are provided along with this response)
- Our Patient Experience Team monitors complaints and compliments from patients and their carers
- We give all patients and their carers information about our Patient Advice and Liaison Service (PALS) and about Healthwatch Surrey, if they want to talk to someone not involved in providing their care

Where an adult safeguarding concern is related to something that has gone wrong with care and treatment, we have provided then we will follow the duty of candour regulations which includes giving patients time to voice any comments or concerns about their care.

How do you ensure that making safeguarding personal is incorporated into your adult safeguarding work?

Do you discuss with the person what outcomes they would like before you refer a safeguarding adults concern to adult social care?

Our adult safeguarding referral form includes the questions

- “Has the adult at risk agreed to this referral being made?”
- “Does the adult at risk know you are contacting the local authority?”
- “If yes what are their views?”

However, we do not have in place any process for measuring or auditing what is recorded in answer to these questions. Work to consider what we can do to address this in part of our Safeguarding Board’s workplan for the coming year.

Section 3: Leadership, strategy and working together

What was your organisation's adult safeguarding strategy for the past year? How and why did you decide on this strategy?

We have a Safeguarding Adults and Children Strategy for 2022 – 2025. A copy is provided along with this response. This strategy reflects

- The priorities identified by Surrey Safeguarding Adults Board and Surrey Safeguarding Children Partnership
- NHS England and NICE guidance
- Priorities identified by our Safeguarding Board

We have contributed to achieving Surrey SAB's Strategic Plan by providing members of our staff who sat on two of the SAB's task-and-finish groups that were taking forward the work identified in the workplan.

What are your processes for internal governance around adult safeguarding work?

What information does your own Board (or equivalent body) receive about adult safeguarding? How often does it receive this?

What did your organisation learn in the past year from your adult safeguarding work? What did your organisation do to act on this learning?

Pivotal to our internal governance arrangements is our Safeguarding Board which meets six times a year. It reports annually to the Trust Board. Minutes of the last three meetings of our Safeguarding Board are attached.

In the past year we found that we had a number of adult safeguarding concerns relating to patients with a learning disability, and there were recurring issues including communication between divisions within the Trust. As a result, we have established a Safeguarding and Learning Disability subgroup of our Safeguarding Board which gives an opportunity to discuss significant cases, themes and issues, and a platform for the sharing of learning to improve practice.

We have introduced divisional spreadsheets outlining the status and progress of divisional section 42 enquiries. Adult safeguarding is now included on the monthly divisional quality key performance indicator sheet.

We analyse the themes within the adult safeguarding enquiries where our services may be the source of risk. There are recurring themes relating to discharge processes, pressure damage and care delivery. These are discussed at our Safeguarding Board, and also within subject specialist meetings for discharge and pressure damage.

How do people who use your services know what to expect from your organisation about adult safeguarding?

We have information about adult safeguarding on our website, on posters around our buildings, and in leaflets available in public areas of our sites. The information on our website includes a Safeguarding Assurance Statement. Our posters and leaflets include information about accessing information in other languages and for people with communication difficulties.

What has your organisation done this year to ensure your strategies and your commissioning processes are informed by the views and experiences of people who have used your safeguarding services.

Our commissioning team has reviewed the learning noted above regarding the issue with equipment to see what they can put in place to pick up on patterns of such issues.

How has your organisation contributed to achieving the aims of Surrey Safeguarding Adults Board's strategic plan for the year?

SSAB Strategic Plan 2022/25

How has your organisation contributed to the work of Surrey Safeguarding Adults Board generally this year?

We have had a representative at all meetings of Surrey SAB this year, and a member of our staff has been Chair of one of the Board's sub-groups.

Section 4: Commissioning, Service Delivery and Effective Practice

FOR COMMISSIONING ORGANISATIONS ONLY

How does your organisation set expectations and standards about adult safeguarding in your commissioning arrangements? How do you monitor this?

What have you done this year to better manage and monitor adult safeguarding work in your own organisation and in those you commission services from?

What changes has your organisation made to your contracting and monitoring arrangements this year because of what you have learned from adult safeguarding enquiries or SARs?

All our standard contracts have safeguarding requirements

- Where the contract is for provision of staff or a service, in regard to safer recruitment practice and training expectations

Where the contract is for the provision of supplies and equipment, in regard to that organisation having its own safeguarding process in place, and regarding provision of safe equipment or services

Noted in Section above

FOR SERVICE PROVIDERS ONLY

How do you give assurance to your commissioners about your adult safeguarding work? What have you done this year to better manage adult safeguarding work?

Our commissioning ICB requires us to complete a safeguarding assurance audit, which we have done.

We have noted above, the introduction of our Divisional safeguarding spreadsheets which has helped us better manage our adult safeguarding work

How does your organisation know that your staff are alert to where there are risks to adults with care and support needs who may be at risk of abuse, and that they act on these concerns?

What adult safeguarding training are staff required to attend, what are your compliance expectations for your mandatory training requirements and are these met?

We set training expectations for our staff to attend appropriate adult safeguarding training according to their role. Our Safeguarding Board monitors uptake of this, and as can be seen from the minutes of these meetings provided the uptake is at a high level.

It can be seen from our annual report that the number of safeguarding concerns referred by our staff to our Safeguarding Team for consideration, and the number which then are referred to SCC Adult Social Care have increased significantly compared to the year before. We believe this reflects the impact of our training. Staff attending those courses have provided feedback, which has often included our staff were now aware of issues that they would refer following the training that they may not have done before.

In reporting to the ICB we need to provide information regarding compliance, and we realised that we have had to put in an action plan to increase mandatory training compliance as they were not being met.

What has your organisation done this year to improve how your organisation safeguards people with care and support needs through proper application of the law, including the Care Act, the Mental Health Act, the Mental Capacity Act, PACE, Domestic Abuse and Human Rights legislation?

As well as revising the content of our training to reflect current issues and best practice, we have been running drop-in briefing session for our staff, both face-to-face and as virtual sessions.

How does your organisation disseminate learning and good practice from Safeguarding Adults work; including safeguarding adults enquires under S42 of the Care Act and Safeguarding Adults Reviews?

How does your organisation monitor the impact on practice following dissemination?

Please see above

Section 5: Performance and resource management

Please give an example of each of:

- **An adult safeguarding enquiry where your organisation's involvement went well.**
- **An adult safeguarding enquiry where your organisation's involvement fell short of what was expected.**

This can be in terms of the involvement in the events leading to the concern, in responding to the concern, or both

Involvement went well

We were involved in an adult safeguarding enquiry where there was a report of a problematic hospital discharge. We were able to respond to the query from the local authority for information about the circumstances that led to the concern on the same day we received it. We had clear records that showed all steps required by us had been completed. The enquiry found that there had been a problem with the response from community-based services.

Involvement fell short

This also related to an adult safeguarding enquiry where there was a report of a problematic hospital discharge. Our response to the request for information was late in being provided, and the quality of the initial response fell short. We revised our response, but it still did not take the enquiry forward as far as had been hoped because poor recording at the time of the discharge meant we were not able to provide a clear account of what had happened. We have done work to address with those involved the issues identified both about the hospital discharge and the contribution to the adult safeguarding enquiry.

Which is more typical of your organisation's work?

How do you monitor this?

The example that went well is more typical of our work. We know this from the auditing our Safeguarding Team carry out of our safeguarding work. They report on the findings of these audits to our Safeguarding Board.

What have you done this year to shift the balance so more go well?

The development of divisional spreadsheets for monitoring of S42 enquiries has helped us improve the timeliness and quality of these.

Does your organisation complete audits of your adult safeguarding work?

If you do complete audits, what do you do, and how frequently are these audits completed? E.g., do you audit the adult safeguarding concerns your organisation make? Making Safeguarding Personal? Contributions to S42 safeguarding enquires

How do you use the learning from the audits to improve practice?

What themes have you identified from your audits?

Please provide a copy of your audit tool

We have recently started completing quarterly audits on safeguarding concerns made and this looks at what information is provided regarding care and support needs and also what reasonable cause there is to suspect abuse and/or neglect. The audit also looks at making safeguarding personal in relation to making a safeguarding concern.

Our most recent audit determined that staff were not recording clearly that the person had been informed or if not the reason for this. From this learning we developed a briefing for all staff that was shared across all sites to discuss at team meetings.

At this stage as we have only recently started this process new have not identify any themes.

A copy of our audit tool is attached

There were a significant number of safeguarding concerns relating to neglect and acts of omission, with nearly 60% of referrals in the 2021/22 year having this type of abuse.

What is your organisation doing to reduce safeguarding concerns which include neglect and acts of omission when your organisation is the source of the risk?

We are currently monitoring those safeguarding concerns where we are the source of risk in relation to neglect and acts of omission.

We have started a process to look at any themes but as this is early work, we have not yet managed to determine these.

We are also aware that the SSAB's strategic plan has an action to support the use of best practice to reduce avoidable safeguarding concerns and we look forward to seeing this work

What would you want from the Safeguarding Adults Board to assist you to improve your adult safeguarding work?

No requests at this time.

Appendix 4: Quality Assurance Questionnaire A



Quality Assurance Questionnaire A

Reporting Period

Please give answers relating to your adult safeguarding work during this period

DETAILS OF THE ORGANISATION PROVIDING THIS RESPONSE

Organisation name

Click or tap here to enter text.

Address

Click or tap here to enter text.

Type of organisation or summary of what the organisation does

Click or tap here to enter text.

DETAILS OF THE PERSON COMPLETING THIS QUESTIONNAIRE

Name

Click or tap here to enter text.

Role title

Click or tap here to enter text.

Address

Click or tap here to enter text.

Email

Click or tap here to enter text.

Telephone number

Click or tap here to enter text.

Date completed

Click or tap to enter a date.

Section 1: Current issues of concern

Please describe any work that has been undertaken in relation to improve the prevention, detection, and response to adult safeguarding concerns regarding each of these issues. This might include things like

- **Prevention** – What type of training has been provided? How do you raise awareness of this subject?
- **Detection** – How many safeguarding concerns have been reported to the local authority regarding this issue
 - by your own staff, relating to risks outside your organisation or services
 - by your own staff, where your organisation or services may be the source of risk
 - by third parties, where your organisation or services may be the source of risk

- **Response** – How many safeguarding enquiries have you been asked to contribute to in relation to this area of risk? What has your organisation learned from these? What is being done differently as a result?

If you have any examples of best practise or a case study that could be shared, please include these so that other organisations can learn from it. Or if there are examples where things did not go so well, please share these including what did you do as a result and what have you done to prevent future occurrence?

Are there any gaps or problems with multi-agency working that the Board should be aware of or could assist with?

Domestic abuse of adults with care and support needs
Click or tap here to enter text.

Financial abuse of adults with care and support needs, including scams
Click or tap here to enter text.

Sexual exploitation of adults with care and support needs
Click or tap here to enter text.

Radicalisation of adults with care and support needs
Click or tap here to enter text.

Human trafficking, modern slavery, forced labour, domestic servitude of adults with care and support needs
Click or tap here to enter text.

Section 2: Outcomes for, and the experiences of, people who use your services

<p>What differences has your adult safeguarding work made for people with care and support needs in the past year?</p> <p>What are you doing differently now from a year ago? How do you know if it is making a difference?</p> <p>How have you incorporated the feedback from your previous QA response into your organisations adult safeguarding work?</p>
Click or tap here to enter text.

<p>How do you gather feedback from adults with care and supports needs regarding your safeguarding adults work?</p> <p>What have they said about your safeguarding work and the actions you have taken in the past year? What did you do as a result?</p>
Click or tap here to enter text.

<p>How do you ensure that making safeguarding personal is incorporated into your adult safeguarding work?</p> <p>Do you discuss with the person what outcomes they would like before you refer a safeguarding adults concern to adult social care?</p>
Click or tap here to enter text.

Section 3: Leadership, strategy and working together

What was your organisation's adult safeguarding strategy for the past year? How and why did you decide on this strategy?

Click or tap here to enter text.

What are your processes for internal governance around adult safeguarding work?

What information does your own Board (or equivalent body) receive about adult safeguarding? How often does it receive this?

What did your organisation learn in the past year from your adult safeguarding work? What did your organisation do to act on this learning?

Click or tap here to enter text.

How do people who use your services know what to expect from your organisation about adult safeguarding?

Click or tap here to enter text.

What has your organisation done this year to ensure your strategies and your commissioning processes are informed by the views and experiences of people who have used your safeguarding services.

Click or tap here to enter text.

How has your organisation contributed to achieving the aims of Surrey Safeguarding Adults Board's strategic plan for the year?

[SSAB Strategic Plan 2022/25](#)

How has your organisation contributed to the work of Surrey Safeguarding Adults Board generally this year?

Click or tap here to enter text.

Section 4: Commissioning, Service Delivery and Effective Practice

FOR COMMISSIONING ORGANISATIONS ONLY

How does your organisation set expectations and standards about adult safeguarding in your commissioning arrangements? How do you monitor this?

What have you done this year to better manage and monitor adult safeguarding work in your own organisation and in those you commission services from?

What changes has your organisation made to your contracting and monitoring arrangements this year because of what you have learned from adult safeguarding enquiries or SARs?

Click or tap here to enter text.

FOR SERVICE PROVIDERS ONLY

How do you give assurance to your commissioners about your adult safeguarding work? What have you done this year to better manage adult safeguarding work?

Click or tap here to enter text.

How does your organisation know that your staff are alert to where there are risks to adults with care and support needs who may be at risk of abuse, and that they act on these concerns?

What adult safeguarding training are staff required to attend, what are your compliance expectations for your mandatory training requirements and are these met?

Click or tap here to enter text.

What has your organisation done this year to improve how your organisation safeguards people with care and support needs through proper application of the law, including the Care Act, the Mental Health Act, the Mental Capacity Act, PACE, Domestic Abuse and Human Rights legislation?

Click or tap here to enter text.

How does your organisation disseminate learning and good practice from Safeguarding Adults work; including safeguarding adults enquires under S42 of the Care Act and Safeguarding Adults Reviews?

How does your organisation monitor the impact on practice following dissemination?

Click or tap here to enter text.

Section 5: Performance and Resource Management

Please give an example of each of:

- An adult safeguarding enquiry where your organisation's involvement went well
- An adult safeguarding enquiry where your organisation's involvement fell short of what was expected

This can be in terms of the involvement in the events leading to the concern, in responding to the concern, or both

Click or tap here to enter text.

Which is more typical of your organisation's work?

How do you monitor this?

Click or tap here to enter text.

What have you done this year to shift the balance so more go well?

Click or tap here to enter text.

Does your organisation complete audits of your adult safeguarding work?

If you complete audits, what do you do and how frequently? E.g., do you audit the safeguarding concerns your organisation make? Making Safeguarding Personal? Contributions to S42 safeguarding enquires.

How do you use the learning from the audits to improve practice?

What themes have you identified from your audits?

Please provide a copy of your audit tool

Click or tap here to enter text.

There were a significant number of safeguarding concerns relating to neglect and acts of omission, with nearly 60% of referrals in the 21/22 year having this as a type of abuse.

What is your organisation doing to reduce safeguarding concerns which include neglect and acts of omission when your organisation is the source of the risk?

Click or tap here to enter text.

What would you want from the Safeguarding Adults Board to assist you to improve your adult safeguarding work?

Click or tap here to enter text.

Appendix 5: Quality Assurance Questionnaire B



Quality Assurance Questionnaire B

Reporting Period

Please give answers relating to your adult safeguarding work during this period

DETAILS OF THE ORGANISATION PROVIDING THIS RESPONSE

Organisation name

Click or tap here to enter text.

Address

Click or tap here to enter text.

Type of organisation or summary of what the organisation does

Click or tap here to enter text.

DETAILS OF THE PERSON COMPLETING THIS QUESTIONNAIRE

Name

Click or tap here to enter text.

Role title

Click or tap here to enter text.

Address

Click or tap here to enter text.

Email

Click or tap here to enter text.

Telephone number

Click or tap here to enter text.

Date completed

Click or tap to enter a date.

Please provide a description of what is done to ensure the welfare of prisoners with care and support needs, including prevention of abuse and neglect and how any concerns might be responded e.g., through incident reporting and management.

Click or tap here to enter text.

Please provide an anonymised case example which illustrates how the service has responded to issues of abuse or neglect in relation to a prisoner with care and support needs.

Click or tap here to enter text.

Please provide a description of the governance arrangements that ensure the welfare of prisoners with care and support needs, including internal governance and external inspection.

Click or tap here to enter text.

Have you identified any areas that the Surrey Safeguarding Adults Board can assist you with in your safeguarding Adults work?

Click or tap here to enter text.

