

Cumbria Safeguarding Adults Board: Information for Members

Over-arching purpose of the Safeguarding Adults Board

The overarching purpose of an SAB is to help safeguard adults with care and support needs. It does this by:

- assuring itself that local safeguarding arrangements are in place as defined by the Care Act 2014 and statutory guidance
- assuring itself that safeguarding practice is person-centred and outcome-focused
- working collaboratively to prevent abuse and neglect where possible
- ensuring agencies and individuals give timely and proportionate responses when abuse or neglect have occurred
- assuring itself that safeguarding practice is continuously improving and enhancing the quality of life of adults in its area.

The SAB leads adult safeguarding arrangements across its locality and oversees and coordinates the effectiveness of the safeguarding work of its member and partner agencies.

This requires the SAB to develop and actively promote a culture with its members, partners and the local community that recognises the values and principles contained in **'Making Safeguarding Personal'**. The SAB also concerns itself with a range of issues which can contribute to the wellbeing of its community and the prevention of abuse and neglect, such as:

- the safety of people who use services in local health settings, including mental health
- the safety of adults with care and support needs living in social housing
- effective interventions with adults who self-neglect, for whatever reason
- the quality of local care and support services
- the effectiveness of prisons in safeguarding offenders
- making connections between adult safeguarding and domestic abuse.

Core duties

The SAB has three core duties, it must:

- develop and publish a **strategic plan** setting out how they will meet their objectives and how their member and partner agencies will contribute
- publish an **annual report** detailing how effective their work has been
- commission safeguarding adults reviews (SARs) for any cases which meet the criteria for these.

In order to meet their core duties and overarching objective, the SAB is required to collate information including general and personal data. Personal data is needed to undertake, for example, safeguarding adults reviews and general data is needed to identify trends and patterns in safeguarding activity, abuse and neglect. The grounds on which SABs can require information to be supplied to them are specified in Section 45 of the Care Act. Legal advice may need to be sought on how to enforce this power effectively.

The six safeguarding principles

The following six principles apply to all sectors and settings including:

- care and support services,
- further education colleges,
- commissioning,
- regulation and provision of health and care services,
- social work,
- healthcare,
- welfare benefits,
- housing,
- wider local authority functions and
- the criminal justice system

The principles should inform the ways in which professionals and other staff work with adults and should underpin all adult safeguarding work:

- **Empowerment:** people being supported and encouraged to make their own decisions and give informed consent
- **Prevention:** it is better to take action before harm occurs
- **Proportionality:** the least intrusive response appropriate to the risk presented
- **Protection:** support and representation for those in greatest need
- **Partnership:** local solutions through services working with their communities – communities have a part to play in preventing, detecting and reporting neglect and abuse
- **Accountability** and transparency in safeguarding practice

Governance, accountability and infrastructure

The SAB will seek the cooperation and collaboration of their member agencies. They may request members to take particular actions. These are specified in the terms of reference of the SAB.

The SAB will agree, record and regularly review:

- the roles and responsibilities of each member or partner, organisation or individual
- how the SAB is resourced
- how the SAB should operate
- any subgroup structure
- any task-and-finish groups.

Links to other boards and partnerships

The SAB has agreed links with other boards and partners including:

- local safeguarding children boards (LSCBs)
- community safety partnerships (CSPs)
- health and wellbeing boards (HWBs)
- quality surveillance groups (QSGs)
- any domestic abuse forum in the area

Links between SABs and other public protection and safety forums

Multi-agency working, information-sharing and clear and open communication processes are key to good safeguarding practice. There may be overlap between approaches and processes to safeguard people. The SAB should be satisfied that there are clear mechanisms for managing this.

The Care Act 2014 imposes safeguarding duties. The local authority must make enquiries or cause others to do so where it suspects an adult with care and support needs is experiencing, or is at risk of, abuse or neglect and is unable to protect themselves.

There will be occasions where abuse is from a current or previous intimate partner or family member and therefore comes under the definition of domestic abuse. This may not be life-threatening, but where there is a risk of serious harm or murder a multi-agency risk assessment conference (MARAC) should be held to share information and agree a coordinated, risk-focused safety plan for anyone who may be at significant or serious risk.

Similarly, some of the actual or potential perpetrators of abuse may be subject to multi-agency public protection arrangements (MAPPAs). These are arrangements to manage the risk posed by serious sexual or violent offenders, including those who may also be the subject of a multi-agency risk assessment conference, or an abuser within safeguarding processes.

These processes are separate, but, as with the safeguarding adult process they are multi-agency arrangements and any relevant agency can be asked to:

- attend a meeting
- provide information
- follow through actions from any agreed plan to prevent abuse or protect someone who has been abused.

The differences between each process relate to the involvement of the person who is or might be at risk:

In adult safeguarding, the person at risk should, whenever possible, be at the centre of the process from the outset. They should have access to advocacy as necessary, as required by the Care Act and detailed in the statutory guidance, and have the opportunity to attend meetings.

For a multi-agency risk assessment conference (MARAC), the person at risk will be aware of (but not attend) the meeting and will be supported by an independent domestic violence advisor.

Under multi-agency public protection arrangements (MAPPAs), representatives of responsible or relevant agencies meet and agree plans.

Strategic role

The SAB provides a forum for strategic discussion and agreement on:

- areas for improvement
- policy issues
- guidance for practitioners, commissioners and service providers
- approaches to self-neglect
- preventing abuse and neglect
- addressing antisocial behaviour; hate crime and domestic abuse
- the respective roles of the board, other boards and partners.

The SAB publishes a **strategic plan** outlining:

- how it will achieve its objectives
- what actions each member will take to implement the strategy.

The SAB produces a 3 year strategic plan that is reviewed and revised annually.

Assurance role

The SAB must ensure it has arrangements that will enable it to carry out the duties and functions specified under the Care Act. It must have a clear, agreed understanding of the roles, responsibilities, authority and accountability of its member agencies and:

- suitable governance arrangements including an escalation process for when agreement cannot be reached between members
- an effective infrastructure
- links to other boards and partnerships
- adequate resources
- opportunities for people with care and support needs and carers to contribute to and inform its work
- person-centred, outcome-focused safeguarding arrangements and policies
- ensure that there is awareness training for all health and social care staff and police who work directly with people with care and support needs
- ensure that there is specialist training for all practitioners who have direct responsibilities for safeguarding work
- evaluate effectiveness and impact of training
- a system for agencies reporting to the board on the measures they have in place, how they are working and enable them to respond to challenge from the board
- a prevention strategy specifying each agency's responsibilities
- links with the wider community to inform it of and receive feedback on the work of the SAB
- arrangements to monitor, evaluate and raise public awareness of adult abuse and neglect and how to respond
- arrangements to provide advice and support to other organisations to improve their safeguarding mechanisms and activity
- agreement and guidance on which types of Serious Untoward Incidents in the NHS are regularly reported to the SAB
- produce Annual Reports, detailing what the SAB and its members have achieved, including how they have contributed to the board's objectives and what has been learned from and acted upon from the findings of Safeguarding Adults Reviews and other reviews and audits
- ensure that partner organisations have arrangements for the quality assurance of the effectiveness of their safeguarding work
- a communication strategy to manage, among other things, the SAB's contact with other parties including the broader community and the media.

Membership of SAB

Local authorities are responsible for the establishment of SABs. The Care Act 2014 specifies that there are three core members:

- the local authority
- clinical commissioning groups (CCGs)
- the police – specifically the chief officer of police.

The Care Act allows for further members to be specified locally.

The selection of agencies and individual members is guided by the need for the SAB to keep itself informed about its local community, and about any wider safeguarding issues and risks.

SAB has established subgroups and will also appoint 'task-and-finish' groups.

Central to the Care Act is the need to place people with care and support needs and carers at the heart of safeguarding activity. The SAB recognises that it is therefore essential that they are meaningfully involved in the work of SAB.

The membership of SAB – Seniority and leadership

The SAB must include members who have sufficient seniority and leadership within their own agency to speak on its behalf, to commit resources and agree actions and to represent their agency should the SAB need to hold it to account.

The membership of SAB – Skills and experience

The SAB has a range of members bringing different skills and experience to meetings, but all members should have attended safeguarding awareness training and have:

- an understanding of abuse and neglect and their impact
- knowledge of local safeguarding services
- personal commitment to the six safeguarding principles
- a clear understanding of their role and that of their agency within the SAB.

The membership of SAB – Chair and vice-chair

The appointment of the chair is made by the local authority in consultation with the other statutory SAB members. The chair of the SAB is accountable to the chief executive of the local authority. The chair may be an employee of one of the member agencies of the SAB but may alternatively be a person independent of any of them.

The Chair of the Cumbria SAB is independent of any of the member agencies.

The chair's functions include:

- providing leadership
- promoting collaborative working
- promoting good practice
- providing advice, support and encouragement
- facilitating the participation of people with care and support needs and carers
- offering constructive challenges
- holding member agencies to account
- ensuring that interfaces with the other strategic boards are constructive
- acting as the spokesperson for the SAB
- developing and maintaining their knowledge and expertise in relation to safeguarding
- endorsing and promoting good practice and quality services.

An independent chair provides some independence from the local authority and other partners. This is especially important in terms of:

- offering constructive challenge
- holding member agencies to account
- acting as a spokesperson for the SAB.

The SAB appoints a vice-chair able to deputise effectively for the chair in his/her absence.

The Chair respond to direct queries, concerns, complaints and whistleblowing from concerned individuals such as adults with care and support needs, carers, the public and practitioners.

The chair attends regional and national chair networks, sharing learning and promoting consistency.

Terms of reference , see appendix

Safeguarding Adult Boards – Funding and staff

The SAB requires resources to fulfil its legal responsibilities to:

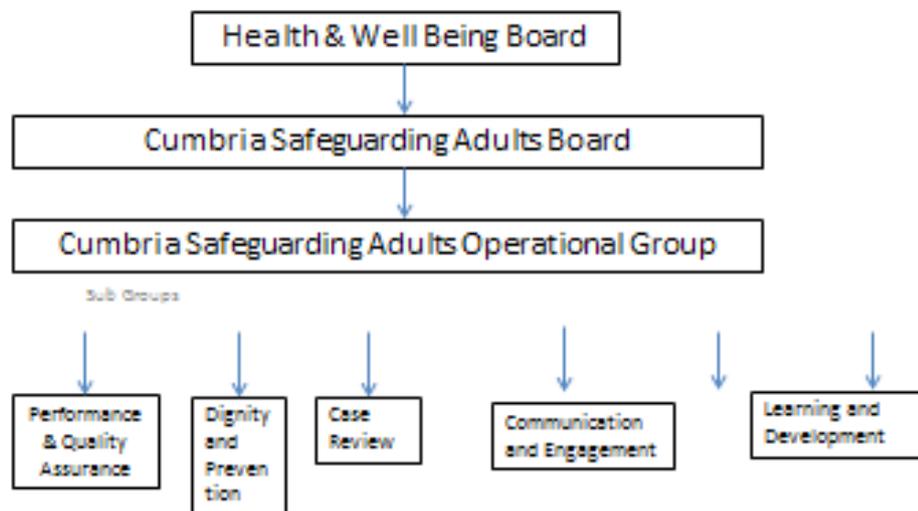
- consult on, publish and implement a strategic plan for each financial year
- commission safeguarding adults reviews and act on their findings
- produce, publish and disseminate an annual report

The SAB requires resources to meet and function as a local partnership, including:

- funding for any independent chair
- administrative support for its meetings
- administrative support for its infrastructure
- funding to enable full, meaningful involvement of people with care and support needs and carers

Members of a SAB are expected to support the board in its work.

Safeguarding Adults Boards – Structure



SAB Structure – Subgroups and task-and-finish groups

To manage their work effectively, the SAB has established a range of subgroups:

- Case Reviews
- Performance and Quality Assurance
- Dignity and Prevention
- Learning and Development
- Communication and Engagement
- Terms of reference, see appendix

Prisons, approved premises

Local authority duties for safeguarding enquiries (Section 42) and safeguarding adults reviews (Section 44) do not apply to adults living in prisons or approved premises, inmates of which are the responsibility of that specific institution. Although SABs have no jurisdiction over prisons or approved premises, they may assist the institution with its safeguarding responsibilities by acting as a 'critical friend'.

Safeguarding Adults Boards – Commissioning

- SAB will want, for example, assurance from commissioning bodies that they are commissioning safe services and have the means and capacity to act when a provider does not safeguard its patients/clients, or does not do so in a personalised way.
- SABs will have to commission safeguarding adults reviews and may wish to commission other pieces of work, including joint training, development of their websites, promotional materials and support posts. agencies managing large-scale investigations, which are not the direct responsibility of the SAB, having contingency plans to ensure they have the necessary additional resources available if required.

Safeguarding Adults Board – Strategic plans

The SAB will publish a strategic plan that covers each financial year. This is part of a 'rolling plan' setting out the strategy for three years that is reviewed and revised annually.

The strategic plan will specify how the SAB will seek to prevent abuse and neglect and how it will help and protect people with care and support needs at risk of abuse and neglect.

The SAB will engage and consult with the local Healthwatch and the local community in preparing its plan. Local community groups engaged in the process will include:

- advocacy groups
- disability groups and relevant voluntary organisations
- other boards and partnerships, especially those without representation on the SAB.

The strategic plan has a focus on planned work with member and partner agencies as well as other local multi-agency partnerships to address its prevention agenda in areas such as:

- bullying, harassment and hate crime
- domestic abuse
- antisocial behaviour
- scams, doorstep and other organised crime
- financial theft and fraud
- sexual exploitation
- slavery and trafficking.

The strategic plan is informed by data analysis and comparison, over time and with other boards and will include qualitative data so that, for example, the experiences and voices of survivors of abuse and neglect are heard and inform the strategic plan.

The findings of case reviews, audits and safeguarding adults reviews will also be utilised.

The strategic plan will address identified weaknesses and respond to any opportunities which are identified. It will be informed by current research and by developments in other areas. The strategic plan has two main purposes. It must:

- specify the actions required by the SAB and each of its member agencies to implement the strategy, including timetables
- inform the local community and all interested parties, including practitioners, about the work programme of the SAB.

The plan will be written in plain, jargon-free language and should be available on request in a range of formats, including an Easy Read version.

The plan will be SMART (specific, measurable, attainable, realistic and timely) to ensure that it will make a difference.

The SAB will seek assurance that the plan has been considered and ratified by member agencies' internal governance processes.

The plan will be circulated widely to the same forums and agencies as the **annual report**. The plan will be publicly available on, and remain, on the SAB's and members' websites.

SAB – Staff development and training strategy

The staff development and training strategy describes how the SAB and its member organisations will:

- work in partnership across agencies to provide joint learning opportunities
- set benchmarks on required content and levels of training
- involve people with care and support needs and carers in training and development
- establish a range of training materials
- establish a culture of learning for practitioners – for example, supported by multi-agency adult practitioner forums
- establish processes to monitor and evaluate the uptake of training and its impact on practice.

SAB – Policy and procedures

- policies and procedures will conform to the principles underpinning 'Making safeguarding personal'
- the launch and promotion of new and revised local policy and procedures will be coordinated by the SAB
- staff training and development opportunities reflect policy and procedures
- policy and procedures are available and accessible to staff, people who use services, carers and the general public
- partnership working across agencies is in place to ensure consistency of terminology and processes
- each agency's internal policy and procedures will be aligned with multi-agency policy and procedures
- both single and multi-agency policy and procedures will be regularly reviewed to ensure they are up to date with legislation, guidance and good practice.

Annual Report

The Care Act 2014 requires each SAB to publish an annual report. The Care Act (Schedule 2.4 (1) a – g) defines the minimum content of an annual report thus:

As soon as is feasible after the end of each financial year, the SAB will publish a report on:

- what it has done during that year to achieve its objective,
- what it has done during that year to implement its strategy,

- what each member has done during that year to implement the strategy,
- the findings of the reviews arranged by it under section 44 (safeguarding adults reviews) which have concluded in that year (whether or not they began in that year),
- the reviews arranged by it under that section which are ongoing at the end of that year (whether or not they began in that year),
- what it has done during that year to implement the findings of reviews arranged by it under that section, and
- where it decides during that year not to implement a finding of a review arranged by it under that section, the reasons for its decision.

The performance of member agencies and how effectively, or otherwise, they are working together will be included in the report. Questions for consideration include the following:

- Are adequate resources being committed by each agency?
- Is there effective collaborative working?
- Is the sum of their efforts greater than the parts?
- Is the service model in place fit for purpose and the best available?
- What examples are there of a culture of challenge to performance across the SAB?

The annual report will be sent to:

- the chief executive and leader of the local authority which established the SAB
- any local policing body that is required to sit on the SAB
- the local Healthwatch organisation
- the chair of the local health and wellbeing board.

It is good practice for the SAB's strategic plan to be sent with the annual report and for the SAB chair to attend relevant forums to speak about both.

Annual reports should form the basis for the consultation on the strategic plan for the coming year.

Safeguarding Adults Boards – Quality assurance

The SAB will seek assurance of the effectiveness of safeguarding activity and that safeguarding practice is continuously improving and enhancing the quality of life for adults with care and support needs and carers in its area, in line with 'Making safeguarding personal'. This should address issues of quality as well as quantity, particularly from the perspective of those who have experienced safeguarding services. It will include arrangements for:

- data recording, analysis and reporting
- case audits
- SAB and agencies' self-audits and peer review
- safeguarding adults reviews
- practitioners' forums to share lessons from case audits and local good practice, from research and from safeguarding adults reviews
- holding member and partner agencies to account
- the management of large-scale investigations, serious incidents, complaints, disciplinary proceedings, grievances, whistleblowing and allegations of professional malpractice or unfitness to practice
- the implementation of 'Making safeguarding personal' at a local level and its impact on engagement and outcomes.
- SABs need a range of approaches to quality assurance to monitor the effectiveness both of their own work and that of their partner agencies. These should include:
 - use of data collection analysis for a quantitative perspective
 - self-audit tools
 - qualitative reviews and audits.

Data collection and analysis

Local authorities are required to collect standard data on safeguarding case work and report this to the **Health and Social Care Information Centre**. This data is summarised and reported to the SAB so that it can use it to evaluate and regionally benchmark its own safeguarding performance.

The SAB is legally empowered to request the supply of information from other agencies and individuals in pursuit of its objectives. A local information-sharing agreement sets out how sensitive information is managed between agencies to ensure people are properly safeguarded and reassure staff that it is their duty to share sensitive information to protect adults.

The SAB will seek legal advice if such a request is refused or the provision of information is unduly delayed.

The SAB will consider the data it has produced to make comparisons, for example between types of victim, geographical areas or safeguarding teams. Over a number of years it will be able to identify trends. The data upon which the SAB can focus includes:

- rates of reporting
- rates of investigation
- types of victim
- types of abuser
- types of abuse and neglect
- types of setting
- timeliness of investigations
- outcomes for victims.

Self-audit tools and risk registers

The SAB is required by the Care Act 2014 to monitor and evaluate its performance and that of its members in terms of achieving its objectives and implementing its strategic plan.

The SAB will also monitor and evaluate its own performance in meeting governance procedures and processes and their members' own internal safeguarding activity through an audit process.

In order to fulfil their functions, SABs need a clear understanding of the risks and threats to the SAB of not meeting their strategic objectives that underpin the general objectives in the Care Act 2014. The SAB will have develop a risk register that applies to its own activity, as opposed to the risk registers of member agencies. Self-audit tools can be used to assist in the writing, monitoring and reviewing of such risk registers.

The risk register and the analysis of the findings of any self-audits can be used to:

- inform the SAB's annual reports
- support reporting back to member agencies' internal governance processes
- facilitate joint working with other local multi-agency partnerships, such as health and wellbeing boards, local safeguarding children boards and community safety partnerships.

Safeguarding Adults Boards – Reviews and case audits

SABs are responsible, under the Care Act 2014, for arranging safeguarding adults reviews. The SAB has an established sub-group with clear procedures for addressing these concerns. See appendix

The SAB must arrange a SAR when an adult in its area dies as a result of abuse or neglect, whether known or suspected, and there is concern that partner agencies could have worked more effectively to protect the adult.

The SAB must also arrange a SAR if an adult in its area has not died, but the SAB knows or suspects that the adult has experienced serious abuse or neglect where, for example, the individual would have been likely to have died but for an intervention, or has suffered permanent harm or has reduced capacity or quality of life as a result of the abuse or neglect.

The SAB, and its member organisations, are primarily concerned with weighing up what type of review process will promote effective learning and improvement to prevent future deaths or serious harm occurring again.

The SAB and its member organisations must be accountable and transparent in delivering their safeguarding responsibilities. When things go wrong, the SAB and its member organisations should endeavour to have early, open and honest discussions with family and /or friends in order to hear their views and agree how they wish to be involved and kept informed. It is important to remember that family too are primarily concerned with understanding what happened and ensuring that lessons are learned which will prevent future deaths or serious harm.

Appendix

- Terms of Reference
 - SAB
 - Operational Group
- Policy and Procedures and guidance papers
 - Go to www.cumbria.gov.uk/safe

Terms of Reference Role of the Safeguarding Adults Board (SAB)

The primary objective of the SAB, is to assure itself that local safeguarding arrangements and partners act to help and protect an adult in its area who:

- Has needs for care and support (whether or not the local authority is meeting any of those needs) and;
- Is experiencing, or at risk of, abuse or neglect; and
- As a result of those care and support needs is unable to protect themselves from either the risk of, or the experience of abuse or neglect (s 42 Care Act 2014)

The SAB has 3 core duties

- To publish a strategic plan for each financial year that sets out how it will meet its main objective and what the members will do to achieve this
- To publish an annual report detailing:
 - what the SAB has done during the year to achieve its main objective and implement the strategic plan, and what each member has done to implement the strategy
 - The findings and subsequent action from any Safeguarding Adults Review (SAR) conducted
- The SAB will bring together Chief Executives and/or nominated lead Directors from key agencies in Cumbria on a quarterly basis.

The SAB will be responsible for all matters relating to Safeguarding Adults multi-agency policy and multi-agency procedures.

All those on the Board will commit themselves to effective partnership working based on trust and open communication. Members will need to be aware of and understand the organisational frameworks within which colleagues in different agencies work.

The SAB will be supported by an Operational Group with terms of reference determined by the SAB

The Board will receive quarterly performance reports and reports relating to serious untoward incidents and SARs

The Independent Chair of the Board takes responsibility for determining the need for the commissioning of any SAR and is supported through advice from the Case Review Group, a sub-group of the SAB.

SAB members will be responsible for overseeing and actively promoting the protection of adults at risk within their own agency and must have the ability to commit their organisation to agree actions.

The SAB will determine arrangements for peer review and self-audit

The SAB will review resource requirements on an annual basis and take a clear view on funding and appropriate levels of partner contribution required to take forward Safeguarding Adults Strategic priorities.

The SAB will ensure a multi-agency training strategy is in place involving statutory, voluntary and independent organisations and identify sources of funding to implement this strategy.

The SAB will facilitate and maintain links to other relevant strategies and strategic Boards. This will include:

- LSCB
- Health and Well Being Board
- Community Safety Partnership
- Clinical Commissioning Group Board
- Quality Surveillance Groups
- Overview and Scrutiny Committee
- MAPPA Strategic Board

The SAB will strive to ensure effective public engagement in its work through a variety appropriate of means.

Role of Individual Board Members

- Will champion and actively promote the multi-agency Policy and Procedures to ensure a wider public and professional understanding of Safeguarding Adults.
- Will facilitate and contribute awareness raising and the identification of adults at risk through local campaigns
- Will commit to attending quarterly SAB meetings or ensure that a colleague with the necessary delegated authority represents them.

Governance

The SAB must send a copy of its Annual Report to:

- The Chief Executive and leader of the local authority;
- The Police and Crime Commissioner and the Chief Constable
- The local Healthwatch; and
- The Chair of the Health and Wellbeing Board

SAB members will be responsible for the submission of annual progress reports to their organisation's executive management body/group to ensure that adult safeguarding requirements are integrated into the organisation's overall approach to service provision and service development.

It is anticipated that through adherence to these reporting arrangements that the work of the Board will contribute to agencies commissioning priorities and the work of the Health and Wellbeing Board.

Membership

Chief Executives and/or nominated lead Directors representing:

- Cumbria County Council
- Cumbria Partnership Foundation Trust
- North Cumbria University Hospitals Trust
- Morecambe Bay University Hospitals Trust
- Cumbria Clinical Commissioning Group
- Cumbria Police
- Cumbria Probation
- HMPS

Committee / Board / Group Structure

- 1. Name of Group** Cumbria Safeguarding Adults Board Operational Group
- 2. Connectivity** Reporting to the Cumbria Safeguarding Adults Board (CSAB)
- Committees / individuals reporting to this group All sub-groups task and finish groups
- 3. Chair** Sara Munro, Cumbria Partnership Foundation Trust
Vice Chair Amanda Evans, Assist Director, Health And Care Services , CCC
- 4. Members of Group**
- Membership will reflect that of the CSAB
 - Members will hold key positions in their organisations and will include managers from:
 - Statutory Agencies
 - Safeguarding Adults Manager or Safeguarding Officerplus representation from:
 - Service user/patient groups
 - Third Sector Providers
 - LSCB representative
- Members unable to attend should endeavour to send a representative

5. Function of Operational Group (Terms of Reference)

To deliver on behalf of the CSAB by:

- The objectives and priorities outlined in the strategic plan.
- Establishing and maintaining work groups to drive the development of good practice in safeguarding adults work.
- Coordination of the work of all sub-groups and task and finish groups to ensure delivery of the priorities in the strategic plan
- Monitoring and reviewing safeguarding adults performance in Cumbria and analysis of quarterly data reports to the CSAB
- Involve the local community in the recognition and prevention of abuse and neglect through active and ongoing work with the local community
- Coordinate the implementation of action plans arising from Safeguarding Adults Reviews (SARs)

6. Quorum Chair or Vice-chair plus representation from 4 other agencies

7. Review date for Operational Group Terms of reference/structure.

6 months from date of initial agreement

8. Frequency of Meetings Quarterly