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**Devon Safeguarding Adults Board**

Safeguarding Multi-Agency Case Audit Protocol

**Background and Context**

The Safeguarding Multi-Agency Case Audit is an audit which aims to assess multi-agency practice. The purpose of the audit is to draw out best practice and learning and share it with colleagues across Devon. Devon Safeguarding Adults Board completes a Safeguarding Multi-Agency Case Audit to understand what is working well or not working well for adults and/or their families/carers. Outcomes from the Safeguarding Multi-Agency Case Audits will enable recommendations to be made to improve the way that different agencies work together to support adults and develop safeguarding practices and adults safeguarding experiences.

Devon Safeguarding Adult Board (DSAB) will undertake a regular programme of Safeguarding Multi-Agency Case Audits of adult safeguarding enquiries. The Board will audit quarterly, aiming to examine 4 cases each quarter, 16 per year. Cases may be identified based on themes. This will be discussed and themes agreed at each board meeting and passed to the Learning & Improvement group to carry out relevant actions. These will be enquiries across the locality of Devon and will include safeguarding Enquiry’s which have been ‘caused out’ to partners agencies.

The Safeguarding Multi-agency case audit will focus on the six key elements of safeguarding and focus on whether the safeguarding Enquiry has adhered to these six principles as well as ensuring that the adult’s voice is heard and the adults preferred outcomes captured and acted upon. The principles are of:

* **Empowerment**- adults being supported and encouraged to make their own decisions on outcomes
* **Prevention** - taking action before harm occurs.
* **Proportionality** - The least intrusive response appropriate to the risk presented.
* **Protection** - Support, action and representation.
* **Partnership** – working in partnership with the Adults at risk, other organisations, carers and communities. Local solutions through services working with their communities.
* **Accountability** -Accountability and transparency in safeguarding practice.

**What is the Devon Safeguarding Adults Board?**

Under the Care Act 2014 every Local Authority has to have a Local Safeguarding Adults Board. Devon’s Safeguarding Adults Board carries out audits and other checks to ensure that all the agencies in Devon are working well together and keeping adults with care and support needs safe. It does this by:

* assuring itself those local safeguarding arrangements are in place as defined by the Care Act 2014.
* 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.

**Making Safeguarding Personal**

Safeguarding Enquiries need to involve the adult at risk and should be clear in what the adult wants as an outcome to the safeguarding.

Making Safeguarding Personal is integral to all the Safeguarding Multi-Agency Case Audits. As part of the audit we need to capture the views and feedback of the adults we are auditing. The facilitator of the audit will seek to gain the consent of the adult and/or their representative for the audit to take place. With consent the adult’s views can be shared at the meeting. The adult should be given feedback following the meeting.

Appendix 2 and 3 provide some guidance tools

* **Safeguarding Experience Tool and**
* **Consent letter/conversation**

The facilitator needs to consider the most appropriate communication methods.

Where possible Safeguarding Multi-Agency Case Audits will try and ensure that a professional who knows the individual is present so they can give a detailed picture of the individual.

**Involving frontline practitioners**

Case conversations should be held with the professional(s) who undertook or participated in the safeguarding Enquiry. The professional will also be asked to reflect on the six key principles of safeguarding and to contribute to the Safeguarding Multi-Agency Case Audit as a whole. The professional(s) may wish to attend the Multi-Agency Case Audit or this could be a separate conversation that is facilitated and brought back by the lead representative of their organisation. The facilitator will ensure that this happens.

In order to demonstrate good practice in terms of quality assurance, it is recognised that frontline practitioners should be more actively involved in the audit process. By ensuring and encouraging conversations with all those who were involved enables the opportunity to reflect, together safely, on what worked well and why and the process will support professional revalidation. The professional(s) can be advised that any issues raised should be included as part of the supervision process.

**The Safeguarding Multi-Agency Case Audit Process**

* Each audit will have a facilitator appropriate to the cases being presented.
* Devon County Council will act as co-ordinator for the Safeguarding Multi-Agency Case Audit, liaising closely with the facilitator for each case.
* The Devon County Council co-ordinator will ensure that cases are identified and information shared with partners prior to the audit.
* In advance of the audit, each invited organisation will be asked to audit their case files against the agreed Multi-Agency Audit Tool (appendix 1) to bring to the Multi-Agency Case Audit. This will be used and collated to form the learning as a whole.
* The multi-agency case audit meeting will be arranged by the Devon County Council co-ordinator.
* Each Multi-Agency Case Audit will be audited using the agreed Multi-Agency Case Audit Tool and guidance questions (appendix 1).
* The facilitator needs to ensure the adults views of their safeguarding experience are represented at the audit.
* The facilitator needs to ensure the frontline practitioners are consulted and contribute to the audit.
* The Devon County Council co-ordinator to ensure that written notes at the audit are made to highlight the learning so that recommendations and actions can be made.
* The Devon County Council to ensure through facilitation that a quarterly report is submitted to the Devon Safeguarding Adult Board with learning recommendations for action.

**The learning**

The process is not about blame but about an open and transparent learning from practice in order to improve inter-agency working and adult’s experience of safeguarding in Devon. It is also an opportunity to showcase best practice.

A robust case auditing process is essential if real change and improvement is going to happen. This needs to inform the work of the DSAB as well as the practitioners.

The focus of the case audit work undertaken by the Multi-Agency Case Audit needs to complement that undertaken by individual agencies and consider all cases from the perspective of the adult and in the light of this determine the effectiveness of the multi-agency working.

Actions taken from Audits will be taken to the Learning & Improvement Group and leads will be identified across the Devon Safeguarding Adults Board structure. Updates against actions will be provided to the Devon Safeguarding Adults Board.

A balance needs to be struck between identifying cases that require improvement and celebrating areas of good practice and both need to be given equal weight.

Notes will be taken from each individual Safeguarding Multi-Agency Case Audit and will be collated to inform a final anonymised report each quarter with a recommended action plan for Devon Safeguarding Adults Board to agree and shared with all agencies. These recommendations will consider the most effective way to share and disseminate learning.

The report will be a summary of findings and will not identify any of the cases involved in the audit. Best practice seminars, masterclasses and workshops will then take place throughout the year to disseminate learning across Devon. Information may also be published on the Devon Safeguarding Adults Board website.

Practitioners should feel safe and supported to engage in this process. Learning and recommendations are likely to relate to single and multi-agency workings and not individuals. However, if serious practice issues emerge during the conversation, there would need to be a discussion about what action (if any) may need to be taken. If during a Multi-Agency Case Audit serious concerns are raised it is the duty of the facilitator to ensure that these concerns are escalated and followed up appropriately to the relevant safeguarding lead of the involved organisation.

Practice issues raised during the Multi-Agency Case Audits will be taken to the Devon Safeguarding Adults Board Community Reference Group for comment and feedback.

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**Appendix1**

**Multi-Agency Safeguarding Audit**

**Participants and roles:**

**Name: Known as:**

**Date of Birth:**

**Care First No: NHS number:**

**Agency’s System Identifier:**

Mandatory information taken from Care First Direct Concern & Enquiry forms:

|  |  |
| --- | --- |
| Date concerned raised |   |
| Type of Abuse |  |
| Location of Abuse |  |
| Referral Source |  |
| Presenting concern |  |
| Agencies involved |  |
| Have outcomes been met? |  |
| Agencies involved |  |
| Record of ‘Cause of Risk’ |  |
| Documents Reviewed |  |
| Documents not available |  |

**Audit Findings**

|  |  |
| --- | --- |
| **What would the person like as an outcome to the safeguarding enquiry?** |  |
| **Pleases answer the next questions using the guidance for each principle** **Pleases score the next six questions alongside the narrative** (*With the suggested guidance* )* **2 Fully met** *(4/5 of the Questions within the principle have been have considered)*
* **1 Partially met** *(2/4 of the Questions within the principle have been have considered)*
* **0 for unmet** *(1 or less of the Questions within the principle have been have considered)*
* **NA – for not applicable**
* **NK – for not known**
 |  |
| **Has the response adhered to principle of Empowerment?** | *(score)*  |
| **Has the response adhered to the principle of Prevention?** | *(score)* |
| **Has the response adhered to the principle of Proportionality?** | *(score)* |
| **Has the response adhered to the principle of Protection?** | *(score)* |
| **Has the response adhered to the principle of Partnership?** | *(score)* |
| **Has the response adhered to the principle of Accountability**  | *(score)* |
| **Total Score** **12 Outstanding** **8-12 Good****6-8 Requires Improvement****5 or below Inadequate**  | **Total Score**  |
|  |  |
| **Summary (including best practice)**  |  |
| **Learning points and recommendations**  |  |

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**Guidance**

Empowerment

1. The safeguarding process has been fully explained to the adult or their advocate in a timely manner, so that the adult has the right support to make informed decisions regarding identifying outcomes and risk management.
2. The outcomes of the adult at risk are identified by the adult, or their advocates, and the adult is supported throughout the safeguarding journey, with outcomes used as a benchmark throughout the process.
3. If the individual lacks Mental Capacity has an appropriate advocate been identified and contacted and asked for a view and desired outcome in the individual’s best interests? Where situational capacity is limited, people are supported in their best interests, with a clear oversight of potential risk to others.
4. Adults at risk and/or advocate are able to attend meetings in which their views are acknowledged and inform the process. Where they are not able to attend clear communication and feedback processes are identified to ensure good information sharing.
5. At the end of the safeguarding adults process there is a recording and evaluation of the adults at risks (or families if they are deceased) experience of safeguarding.

Prevention

1. The adult or their advocate have clear information about abuse and how/where to report in the future.
2. Judgements made on the balance of probabilities, and recommendations are made to prevent, minimise or reduce repeat abuse/victimisation.
3. Plan includes longer term actions to minimise risk of further harm. This plan is shared effectively with all agencies
4. Organisational learning prior to closure which is intended to minimise reoccurrence more widely across the partnership if appropriate.
5. Evidence of working with family networks to make decisions and manage complex situations.

Proportionality

1. The approach has been the least intrusive possible whilst fully discharging Duty of Care.
2. There is evidence of positive risk enablement with the adult or their advocate and the adult feels they have maintained/increased their independence following the safeguarding concern and outcomes being closed?
3. Timings were proportionate to the level of involvement in the concern?
4. The adult feels safe and in agreement with Safeguarding/ protection plans.
5. The person identified as the Cause of risk has been given an opportunity to respond to the allegations against them. Support is in place for the Cause of Risk when they have Care and Support needs.

Protection

1. Measures are person-centred, appropriate and multi-agency with clear timescales, outcomes and a named responsible person.
2. All procedural timescales are adhered to and the adult is kept informed where timescales are not met with reasonable explanation why.
3. Protective actions declined by the adult are recorded with clear reason. Consideration for safe contact is noted (e.g. in domestic abuse cases) and appropriate intervention is considered.
4. Adult at risk feels safer at the end of the process; if not reasons why are recorded with plans to mitigate this in the future. Transferrable risk has been considered and responded to and this is evidenced.
5. If the alleged perpetrator is a vulnerable adult, have their needs been addressed?

Partnership

1. All appropriate partner agencies consulted and appropriate information shared with appropriate and timely feedback given to all relevant parties.
2. Appropriate onward referrals have been made based on agreements reached by the safeguarding professionals supporting the adult (including MARAC, Quality Improvement teams, SAR referrals etc.)
3. Professionals meetings / discussions are convened at the appropriate time with appropriate levels of information sharing. Discussion and outcomes / action plans are clearly recorded.
4. There is evidence of a coordinated multiagency response and effective challenge where appropriate.
5. The adult at risk or their representative was an equal partner in the process. Where professionals have a legal duty to report/act on behalf of the adult at risk this is clearly identified.

Accountability

1. Safeguarding process in acceptable timescales; if not, delay reasons recorded (acceptable delay includes those made in regards to adult at risk needs)
2. Management oversight and support, including staff supervisions was evidenced throughout
3. Any delays or changes in process (i.e. extending enquiry boundaries are discussed with the Enquiry Manager, Cause of Risk and adult at risk or their representative.
4. If the end result is not able to meet the outcome identified by the adult at risk or their representative, the reasons why are clearly recorded and justified.
5. Protection plans include a named responsible person for completing actions – and detail how these will be reported / completed.

**DSAB Multi-Agency Case Audit Process**





**Appendix 2 (Easy Read version is also available via the DSAB website)**

**Devon County Council Adult Safeguarding**

**Service Users Experience**

We would like to hear about your recent experience when we worked together to keep you safe and protect you from harm. This will help us improve our safeguarding processes. The information you provide will be confidential, will not share the information without your permission.

You can provide this information anonymously or with the support of a friend, carer, representative or relative. We can send this to you to complete, call you or meet with you. Please add your name and contact details at the end if you are happy for us to contact you about your feedback.

**1. Did you feel listened to during conversations and meetings with people about helping you feel safe?**

I was **always** listened to 

I was listened to **quite a bit** 

I was **not** listened to **very much** 

I was **not** listened to **at all** 

Not answered 

**Comments:**

|  |
| --- |
|  |

**2. Did you get the right information to help you feel safe during the safeguarding concern? (This could be verbal or written information).**

I got **a lot of** information 

I got **quite a lot** of information 

I did **not get very much** information 

I did **not get any** information 

Not answered 

**Comments:**

|  |
| --- |
|  |

**3. Were you able to understand the information given to you during the safeguarding concern?**

I was able to understand **all** of the information 

I was able to understand **most** of the information 

I was **not able** to understand **much** of the information 

I was **not able** to understand **any** of the information 

I did **not get any** information 

Not answered 

**Comments:**

|  |
| --- |
|  |

**4. Did you have someone to support you through the safeguarding?**

**This could have been a friend, family member, IMCA or advocate.**

Yes 

No 

Decline 

**Comments:**

|  |
| --- |
| *( Pleases specify)*  |

**5. Were you able to say what you wanted to happen?**

Yes 

No 

Partially 

Unsure 

**Comments:**

|  |
| --- |
|  |

**6. How happy are you with the outcome of the safeguarding and the service or support you received?**

I am **very** happy with the end result 

I am **quite** happy with the end result 

I am **not very** happy with end result 

I am **not at all** happy with the end result 

Not answered 

**Comments:**

|  |
| --- |
|  |

**7. How happy are you with the way people dealt with the safeguarding concern throughout?**

I am **very** happy with how people dealt with the concern 

I am **quite** happy with how people dealt with the concern 

I am **not very** happy with how people dealt with the concern 

I am **not at all** happy with how people dealt with the concern 

Not answered 

**Comments:**

|  |
| --- |
|  |

**8. Do you feel safer now than you did before the safeguarding process was started?**

I feel **a lot** safer now 

I feel **quite a bit** safer now 

I feel **not much** safer now 

I feel **not at all** safer now 

Not answered 

**Comments:**

|  |
| --- |
|  |

**9. Do you know who to contact if you feel unsafe or need further support or information?**

Yes 

No 

Unsure 

**Comments:**

|  |
| --- |
|  |

**10. Is there anything else you think Devon council (or other organisations)**

**Comments:**

|  |
| --- |
|  |

**11. Would you be happy to talk to Devon council (or other organisations) to help us improve the way we support people to stay safe?**

* I would be interested in joining a forum to share the views of people who have experienced safeguarding and their families 
* I would be interested in taking part in staff training sessions to share my experience 
* I would be interested in helping organisations to develop training resources (such as videos or real life stories) 
* I would like to know more before I make a decision – please contact me to discuss further 
* I would not be interested in being contacted in this way 

**12. Is there anything you would like to tell us about the questions or taking part in this interview?**

**Comments:**

**If you are happy for us to contact you about your feedback please give us your name and contact details.**

Name:

Name of representative if this is completed on your behalf:

Phone number:

Address:

Email:

**Many thanks for completing this interview; your views are really important to us. Please send a copy of this interview to** **safeguardingadultsboardsecure-mailbox@devon.gcsx.gov.uk**



**Appendix 3**

|  |  |
| --- | --- |
| ***Example Consent Letter*** | Devon Safeguarding Adults BoardFirst floor, The AnnexeCounty HallTopsham RoadExeterEX2 4QDTel: (01392) 383000 |

Date:

Dear ………

We are writing to you to obtain your consent and to obtain your feedback on your recent safeguarding Experience.

Your safeguarding Enquiry has been selected for an audit. We regularly audit cases of adults with whom we are working with.

The purpose of the audit is to draw out best practice and learning and share it with colleagues across Devon. Devon Safeguarding Adults Board undertakes Audits because we want to understand what is working well or not working well for adults and/or their families/carers in Devon.

Outcomes from the audits allow us to make recommendations to improve the way that different agencies work together to support adults and develop safeguarding practices and our adults Safeguarding experiences.

Therefore your feedback of your experience is very valuable to us. We welcome the opportunity to hear your own view of how you have found working with different people – good or bad.

The recommendations and learning will not identify you in any way – you will remain anonymous.

After the audit, we will let you know what we have found out and what we intend to do.

Please can you sign the enclosed form to say that you are happy for us to do the audit?

We will also be in touch with you and or your representative to arrange how we get your views, either face-to-face, by phone or e-mail. There is space on the Consent form should you wish to attach your views /comments there

If you have any questions about the audit, please contact me either by email on ………………or by phone on: …………………………………..

Yours sincerely



**Appendix 4**

**Information Sharing Consent Form/ Feedback Form**

**I agree to the information about me being shared with other professionals in relevant organisations and agencies. This audit will be carried out confidentially and in line with any limitations outlined before.**

**I understand that I can change my mind to the sharing of my personal information at any time and agree to inform the relevant professional if I wish to do so.**

**I understand that information may need to be shared without my permission if my safety or any other person is at risk or if the information is needed to help stop or solve a crime.**

**I understand that any information about me will be held securely by Devon County Council, whether in electronic format or on paper and that my personal information is protected by the Data Protection Act 1998.**

|  |  |
| --- | --- |
| **Your Name or the person you’re representing:** |       |
| **Name of person completing this form:** |       |
| **Signature:** |       |
| **Date:** |       |
| **Relationship to adult if being competed by a representative:** |       |
| **Is there any information you prefer not to be shared** **or any person or organisation you would not want your information shared with?** |       |
| **Please share with us any comments or feedback on your experiences of Safeguarding in Devon (either in the space provided here or via the Feedback form).**  |  |

If would you like further information regarding Information Sharing please visit:

<https://new.devon.gov.uk/devonsafeguardingadultsboard/>