

Leicester
Safeguarding
Adults Board

WORKING IN PARTNERSHIP
TO KEEP ADULTS SAFE

Annual Report

2013 - 2014

Independent Chair of the Board: Dr. David N. Jones

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A draft annual report was considered by the Leicester Safeguarding Adults Board (LSAB) on 29th September 2014 and this final version was published on 4th November 2014 via the LSAB's website and hard copies were circulated at the annual safeguarding board conference.

The term "LSAB" stands for Local Safeguarding Adults Board, although in a local context it is also taken to mean the Leicester Safeguarding Adults Board. In Leicester these terms are used interchangeably.

The Independent Chair wishes to thank contributors to the report:

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- Adrian Spanswick, Safeguarding Effectiveness Group Chair
- Sarah Taylor, Building Workforce Confidence Lead
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Contents

1.	Foreword	3
2.	Executive Summary	5
3.	Local background and context	13
	Fig1: Leicester's population (2011)	
	Fig2: Breakdown of referrals by age	
	Fig3: Breakdown of referrals by gender	
	Fig4: Breakdown of referrals by primary client type	
	Fig5: Breakdown of referrals by ethnicity	
	Fig6: Concluded referrals by risk type	
	Fig7: Concluded referrals by location of abuse	
4.	Statutory and legislative context for Safeguarding Adult Boards	20
5.	Governance and accountability arrangements	23
	Fig8: Budget for the Leicester Safeguarding Adults Board 2013/14	
	Fig9: Budget for the Leicester Safeguarding Adults Board 2014/15	
6.	The work of the Leicester Safeguarding Adults Board	26
7.	The effectiveness of safeguarding arrangements in local area	33
8.	Conclusion and recommendations for future priorities and Strategic Plan	35
9.	Appendices	44
	○ Appendix A: Joint LSAB and LSCB values statement	
	○ Appendix B: board membership	
	○ Appendix C: board structure	
	○ Appendix D: board attendance	
	Fig10: 2013/14 attendance	
	○ Appendix E: Glossary of terms	
	○ Appendix F: Contact details	

1. Foreword by the Independent Chair of Leicester Safeguarding Adults Board

- 1.1. I am pleased to present my fourth annual report as Independent Chair of the Leicester Safeguarding Adults Board. The report is structured around the objectives of our Strategic Plan.
- 1.2. The report covers another year of significant challenge for all agencies represented on the Board. All agencies have contributed to work to improve our services, especially in respect of preparation for implementation of the Care Act 2014, launch of a city wide competency framework to support evaluation of practice and identify training needs, a strengthened framework for monitoring the quality of services and the effectiveness of the Board, strengthened arrangements to assist residential care homes which need to improve their service quality, new guidance to support staff working with vulnerable people who refuse interventions and a review of the Board's own working arrangements. We recognise that it is essential to receive feedback from those who experience safeguarding interventions or may need to do so. We are exploring ways to do this more effectively and to ensure that we hear from all the diverse communities in Leicester.
- 1.3. The national media has been full of discussion about standards of care in health and social care settings throughout the year. There has also been public debate focussed mainly on historic abuse in adult care settings, often by well-known figures, but some cases well publicised in the national media have involved more recent abuse. We are conscious of the need to provide evidence that services in Leicester are working effectively together and that people in the city are safe. This report includes evidence about the effectiveness of local services and the work we have been doing to strengthen our oversight of the multi-agency system. Above all, we need to do our best to give people information about how they can seek help if they feel they are experiencing abuse or ill-treatment, whether they are at home, or in a hospital or care setting.
- 1.4. Our work takes place in a challenging national environment, with increasing inequality and growing pressures on individuals and families, increasing 'demand' in many areas, rising poverty and reducing budgets. The Board has been acutely aware of the impact of the government's welfare reforms on the income and housing of those who have least resources. I welcome the work of the City Council to provide support to those with greatest need and to mitigate the effects of poverty.
- 1.5. The Board wishes to encourage a climate in which all people have the opportunity to express their concerns and be treated with respect. Any person who experiences ill-treatment or abuse should feel able to talk to somebody about it and to seek help. Statistics show that many in our prisons and mental hospitals have suffered different forms

of abuse in childhood or their adult lives. These experiences sometimes result in problems with anger and anti-social behaviour. We do not condone anti-social behaviour but if we are to enable those who have experienced abuse to seek understanding and help, and to create a safer community for all, we must get behind the behaviour and show humanitarian concern and respect.

- 1.6. We understand that the safety and wellbeing of all people in Leicester is a real concern to the whole community. We therefore welcome public scrutiny of our work. We recognise that there are continuing challenges. We have a professional and legal responsibility to take protective action to protect people and promote their welfare, but we cannot do this alone. We welcome comments and suggestions from the community about how we tackle those challenges. Safeguarding is everybody's responsibility and we call upon people in Leicester to play their part in helping to create a safer community for all. If you have concerns, please contact the police, the city council adults' services or any other agency known to you. We will do our best to listen respectfully and to follow-up your concerns appropriately.
- 1.7. I am required to give a personal report on the quality of safeguarding in the city and this overview forms chapter 2, which is in effect the Executive Summary of the following chapters.
- 1.8. I would like to thank all the members of the Board and our working groups for their commitment and achievements over the past year.
- 1.9. I was reappointed by the Board for a second three year term in 2013. I am grateful for the confidence placed in me and reaffirm my commitment to serving the families and people of Leicester to the best of my ability, always preserving my independent scrutiny and judgement.

**Dr David N. Jones PHD, MA, BA, CQSW, RSW
Independent Chair**



2. Executive Summary

2.1 Introduction

This is my fourth annual report on the work of the Leicester Safeguarding Adults Board (LSAB) and its member organisations and probably the last before the Board assumes statutory status in 2015. The Care Act 2014 requires local areas to sustain an LSAB. This chapter is my personal report to the people of Leicester on the work of the Board during 2013-14. It is followed by chapters which present the supporting detail, recording the work of the Board, its working groups and many individuals from partner agencies. Our intention is to provide a rigorous and transparent assessment of the performance and effectiveness of local services, identify areas of weakness, the causes of those weaknesses and the action being taken to address them as well as other proposals for action’.

2.2 Overview of the effectiveness of safeguarding in Leicester

I welcome the commitment of all agencies to work effectively in partnership to meet the needs of the people of Leicester. This report has plentiful evidence of practical areas of cooperation and new developments. I consider that agencies in Leicester work effectively together to provide a reliable but not always consistent safeguarding service. The voice of service users is not as well developed as we would like. We have plans to involve service users and carers more effectively, working jointly with service user and carer led organisations, voluntary sector partners and individuals. There is an urgent need to complete the revision of the procedural guidance to ensure consistency with the new Care Act 2014.

The new Competency Framework offers a real opportunity for improving consistency of knowledge and skills across staff in all agencies. However this requires determined monitoring and effective support to managers to ensure robust implementation across the many agencies and hundreds of people involved. The annual frontline worker conference across adults and children services is now well established, adopting a ‘think family’ approach to safeguarding work. The event consisted of two half day sessions and directly reached around 600 people, helping to develop a connection between staff in the community and the Board. The annual report and e-newsletter provide regular information to a wide range of staff and this encourages feedback.

The new guidance on work with people considered vulnerable but who refuse services provides good support for staff. The First Contact Service has reached 102 people who may not otherwise have received support. Regular reports on the application of Deprivation of Liberty Safeguards (DoLS) reveal that Leicester has a higher use of DoLS than the national average; the Board is monitoring the impact of the recent Supreme Court rulings on DoLS and is well placed to respond effectively to the greater demands this is bringing.

The Board intends to strengthen its communications with the public and to provide a range of advice about how to respond to safeguarding concerns. There is an effective and transparent

process for review of cases where there is concern about multi-agency practice. This is linked to the statutory Domestic Homicide Review process. The Board has reviewed its own functioning and initiated a governance review to improve its own performance.

2.3 Local background and context

Leicester is the largest city in the East Midlands, with a population of 329,839, of whom around 79% are over 18 (260,470) with 11.3% of those over the age of 65. Leicester's adult population is relatively young compared with England; around 20% are aged 20-29 years old (14% in England). The Leicester population is predicted to grow to around 346,000 by 2020, an increase of nearly 40,000 from 2010.

Leicester has 114 care and nursing home providers within its borders and the City Council contracts with an additional 228 residential and nursing homes out of the area supporting Leicester residents. 2,259 people live in residential or nursing care homes.

The population is very diverse; 55% of the city population comes from minority communities and around 70 languages are spoken in Leicester, although 72.5% would consider English to be their main language. The Board is aware of its responsibilities to everybody in the city and the need to ensure that people from all communities have confidence in safeguarding services.

Leicester has a high level of deprivation compared to the country as a whole, the 25th most deprived local authority area in the UK. 15.7% of working age adults are unemployed (23,800 people). Reported domestic violence rates within Leicester for 2013/14 were 8,342, a 6% decrease from the previous year. The number of safeguarding referrals for those aged 18 and over received by the City Council in the year 1st April 2013 – 31st March 2014 was 528, of which 48 concerned people previously referred in the same year. The majority (77%) of the safeguarding referrals concerned members of the White ethnic group, possibly suggesting an under-reporting of risks in other communities.

Whilst poverty and vulnerability do not necessarily go together for all people, we know that poverty and related issues do make it more likely that there will be a range of social problems, including increased risk of mental health problems, suicide and self-harm, domestic violence and problems with dependents. Given the national economic environment and reductions in the financial support available to some people with personal problems, the Leicester Board has been predicting an increase in the number of those experiencing significant problems. The number of people needing support continues to increase and problems are becoming more complex.

The past year has seen continuing changes in the structure and organisation of agencies which are members of the Board. Major changes are taking place within the police, health, city council, probation, housing and schools, with significant impacts on voluntary and private sector providers. I am reassured that all these changes have been effectively managed. A programme of visits to Chief Executives of local agencies has been initiated by the Chair of the Leicestershire and Rutland Board and myself to ensure that safeguarding continues to receive a high priority. Effective safeguarding depends on trust and good cooperation between all agencies. This can be

undermined when the key people change and there are organisational uncertainties. It is to the credit of local agencies that, so far, the reforms have been implemented without significant disruption.

However for front-line services, the reality is increasing 'demand' for services with reducing resources and capacity to respond. This increases risks for the population.

2.4 Statutory and legislative context for Local Safeguarding Adult Boards (LSABs)

Safeguarding Adults Boards are an inter-agency, strategic partnership for the protection of vulnerable adults, set up in accordance with Section 3 of the statutory guidance *No Secrets* (Department of Health, 2000). Additional guidance by the Association of Directors of Adult Social Services (ADASS) was published in October 2005 and revised in March 2013.

The Care Act 2014 consolidated and revised adult social care legislation, and places Safeguarding Adult Boards on a statutory footing. The sections of the Act relevant to LSABs come into force in 2015.

The ADASS guidance identifies the following elements as contributing to effective boards: a dynamic chair, good governance, sound strategy and planning, holding people to account, having active members, conducting intelligent commissioning, joining-up risk management and issuing proactive communications.

Following publication of the draft Care Bill, a benchmarking exercise was conducted to review what work was needed to ensure the Leicester SAB was compliant with the new requirements, subsequently confirmed in the Care Act 2014 and draft guidance issued by the Department of Health. This found that the LSAB was compliant in most respects. Additional work is underway to engage the newly created Health Watch, to publish a revised version of local multi-agency policy and procedures, jointly with the Leicestershire and Rutland Safeguarding Adults Board, and to reference new information provided by The Care Act and associated statutory documentation, which is expected to be ready for the Care Act implementation in April 2015.

2.5 Governance and accountability arrangements

Board membership includes statutory bodies and representatives of voluntary and private sector providers. The Board meets quarterly. The LSAB is independent, not subordinate to, nor subsumed within any other local structures. This enables the Board to provide effective scrutiny. The local partnership and accountability arrangements are specified within the Board constitution. The LSAB and LSCB share a common values statement. The LSAB and Health and Well-Being Board aim to have a formal protocol specifying their respective roles during 2014/15.

Dr David N. Jones, the Independent Chair of the LSAB and LSCB, was appointed in April 2010 on a 3 year contract. His contract was renewed during the year for a further 3 years to April 2016. A central responsibility of the Independent Chair is to facilitate all agencies to hold each other to account for their work in relation to safeguarding.

The Board office is hosted by Leicester City Council. The staff consisted of the full time Board Manager, during the year in question, located in the City Council Safeguarding Unit. Due to the additional workload arising from new statutory requirements, a new post of Board Officer has been created in 2014/15.

The total budget for LSAB in 2013/14 was £113,771, 43% contributed by the City Council, 30% by other partners and 27% from the previous year's underspend. 76% of the expenditure related to staffing costs (including the Independent Chair and independent case reviewers), 13% to the First Contact service and the balance to office costs and the annual conference. Additional resources estimated at around £101,500, were provided by the City Council, including a Partnerships and Strategy Manager (0.5), a Senior Practice Professional (0.5) and a fulltime Safeguarding Adults Training Co-ordinator, as well as the First Contact Scheme.

2.6 The work of the LSAB for 2013/14

The Board has in place the following strategic objectives:

1. To ensure effective implementation of the procedural arrangements for investigating safeguarding allegations and to evaluate the effectiveness of agency intervention and interagency partnership working.
2. To enhance public awareness of the risk of harm and facilitate appropriate referrals of safeguarding concerns.
3. To promote health and wellbeing through interagency programmes aiming to prevent abuse and ill treatment.
4. To build workforce confidence by providing a consistent set of safeguarding messages to staff across Leicester
5. To undertake detailed scrutiny of cases where there have been significant concerns about the quality of practice and partnership working and to disseminate the learning from such reviews.
6. To strengthen partnership working within the board structure and specifically to develop service user, carer and community participation in the work of the board.

The following work streams and sub-groups were created to implement these:

A. Procedures Group (Leicester, Leicestershire and Rutland) (Priority 1)

The remit for this group is to develop procedural arrangements for investigating safeguarding allegations and related matters and to ensure their effective implementation. The operational procedures for investigating notifications of safeguarding concerns are jointly approved and managed by the 3 authorities, recognising that the police and health services work across the

local authority boundaries. It had been intended that the procedures would be developed by a consortium of East Midlands LSABs but this has not progressed as quickly as had been hoped due to operational constraints and changes in key personnel. Work is continuing to ensure that revised procedures across LLR are compliant with the Care Act 2014 and best practice. Events were held to ensure that practice was informed by findings from Serious Case Reviews/Adult Reviews, regulatory findings, emerging best practice and changes in legislation and guidance.

B. Partnerships and Communication Work-stream (Priority 2 and 6)

The Board website provides public access to the activity, policies and procedures of the Board and partner agencies. The Board publishes posters and leaflets publicising and explaining safeguarding services which are made available to surgeries, schools and other public venues. It intends to develop a more active public participation strategy, using a wider range of ways to involve a wider section of the public in a more sustainable way.

The Board decided to open each meeting with a 15 minute presentation from a service user perspective or focused on a specific case; this has already changed the way members approach discussions. Attempts to establish a group of service users, including people with experience of the safeguarding arrangements, and to involve them consistently in reviewing services foundered due to changes in group membership and recruitment difficulties. A new strategy for service user involvement is being developed during 2014/15.

The First Contact (FC) scheme was launched, providing the first point of contact for vulnerable people aged 18 and over with unmet needs. A framework for measuring outcomes and benefits from the FC scheme is being developed to support quarterly reporting. An options paper and procurement strategy for the future sustainability of the project will be considered during the current year.

C. Health, Wellbeing and Prevention Work-stream (Priority 3)

The Board has been conscious of national policy to increase the use of (unregulated) Personal Assistants by those receiving Individual Budgets. Whilst supportive of the rights of service users to exercise choice and personal preference in the selection of PAs, the Board is also aware of the risks involved. A presentation was provided to the LSAB in December 2013 by the local authority and a service user led organisation explaining existing work in relation to this field by board partners, including assurance measures. It was agreed by the LSAB that this good partnership work should continue as planned and that an additional project was not required.

Guidance for staff working with service users who refuse services but are assessed to be vulnerable or at risk was developed and incorporated into the multi-agency policy and procedures. Day masterclass workshops were held in March 2014 for over 80 multi-agency practitioners.

Plans to develop a campaign to raise awareness about the financial abuse of vulnerable people did not proceed because the Board recommended that this item was better aligned to the work

of the Safer Leicester Partnership (SLP). This work is proceeding under the aegis of the SLP.

D. Building Workforce Confidence Work-stream (Priority 4)

A new Competency Framework was designed, and approved, across the 3 authorities, aiming to ensure a consistent, multi-agency approach to practice and a basis for evaluation. The Framework included Guides to Assessing Competency and paperwork to support Managers to record competence effectively. Implementation across all agencies is progressing.

The Board withdrew from providing multi-agency safeguarding training during the year. Agencies now provide their own basic safeguarding training, supported by the competency framework (see above).

Safeguarding masterclasses and Mental Capacity Act (MCA) forums were launched during the year. The masterclasses enabled delegates to consolidate learning, gain better insight and develop understanding in an area of safeguarding practice. The MCA forums provide an opportunity to discuss and debate current MCA practice and issues. Multi agency domestic violence workshops were established jointly with the LSCB, promoting a 'Think Family' approach.

A new approach to monitoring the effectiveness of training was launched, linked to the Competency Framework and based on follow-up surveys to evaluate the impact of training on practice. The outcomes are submitted to the Safeguarding Effectiveness Group and form part of the overall evaluation of the effectiveness of the LSAB.

E. Adult Review and Learning Group (Priority 5)

The Adult Review and Learning Group undertakes detailed scrutiny of cases where there have been significant concerns about the quality of practice and partnership working and disseminates the learning from such reviews, including recommendations about improvements in practice and procedures. The Group also manages the Domestic Homicide Review process on behalf of the Safer Leicester Partnership.

The Group considered a number of cases, most of which did not meet the threshold for a formal review. One Domestic Homicide Review was completed during the year, 2 additional DHRs were set up and the Group contributed to an out of area DHR which involved some links to Leicester.

The Group intends to make effective use of the greater flexibilities in the new Care Act guidance which introduced the idea of conducting Adult Reviews using a range of methodologies, allowing the process to be more flexible and engaging and for the learning to be greater.

The Group monitors implementation of the actions recommended by Adult Reviews. It tracks completion of all actions and received assurances and evidence from agencies on the completion

of Adult Review actions.

F. Safeguarding Effectiveness Group (Priority 1)

The purpose of this Group is to evaluate the effectiveness of agency intervention and interagency partnership working and to advise the Board about the overall effectiveness and impact of its work. The Board recognises the need to draw on a diverse range of qualitative and quantitative (statistical) evidence.

The Group worked with the Leicestershire and Rutland SAB to develop the health service Safeguarding Adults Assurance Framework (SAAF) to ensure that this was aligned with the requirements of the Boards. A joint SAAF self-audit was circulated by the Board in November 2013 to SAB partners to seek assurance against both strategies and processes. The audit was completed by 11 board partners. Partners scored themselves as effective in their safeguarding activities. The SEG has committed to improving the usability of the document, to improve the quality of the returns for 2014/2015 and to seek responses from all board partners.

The Safeguarding Effectiveness Group oversees and monitors the following activities:

- the LSAB Risk Register – identification of appropriate multi-agency risks and ensures mitigations are put in place. The Board receives risk register updates at each meeting.
- Safeguarding Adults Assurance Framework (SAAF) – agency self-audits (see above)
- Review of the findings of the Safeguarding Adult Assurance Framework (SAAF), in conjunction with the Leicestershire and Rutland Safeguarding Adults Board, to identify cross-authority issues and areas for joint work on improvements
- Multi-Agency Case File Audit (MCFA) process - worked with the LSCB to adapt its Multi-Agency Case File Audit (MCFA) format in order to undertake a joint audit where both children and adult safeguarding issues were identified in order to capture a 'think family perspective' - a joint case audit took place in May 2014. Further MACFAs are planned.
- the effectiveness of the multi-agency procedures - has drawn attention to the need for urgent completion of the review of procedures (see above).
- the effectiveness of training provision (see above).
- evidence about service user views and experiences. Measures have been put in place to strengthen the voice of service users.
- safeguarding performance indicators - worked with colleagues across the East Midlands region to develop a consistent set of safeguarding performance indicators and adapted the Board framework as a result. Data will be captured on a quarterly basis and reported to the board on a bi-annual basis.

- individual agencies' annual reports / activity summaries - informs sections of the LSABs annual report and strategic planning.
- single agency 'demands' reports – presenting a periodic overview of agency pressures and developments, undertaken jointly with the LSCB.
- Board effectiveness - issued a questionnaire to Board members on the effectiveness of the Board itself which was reviewed by the Board in January 2014 - resulted in a governance review of Board membership and group structure.

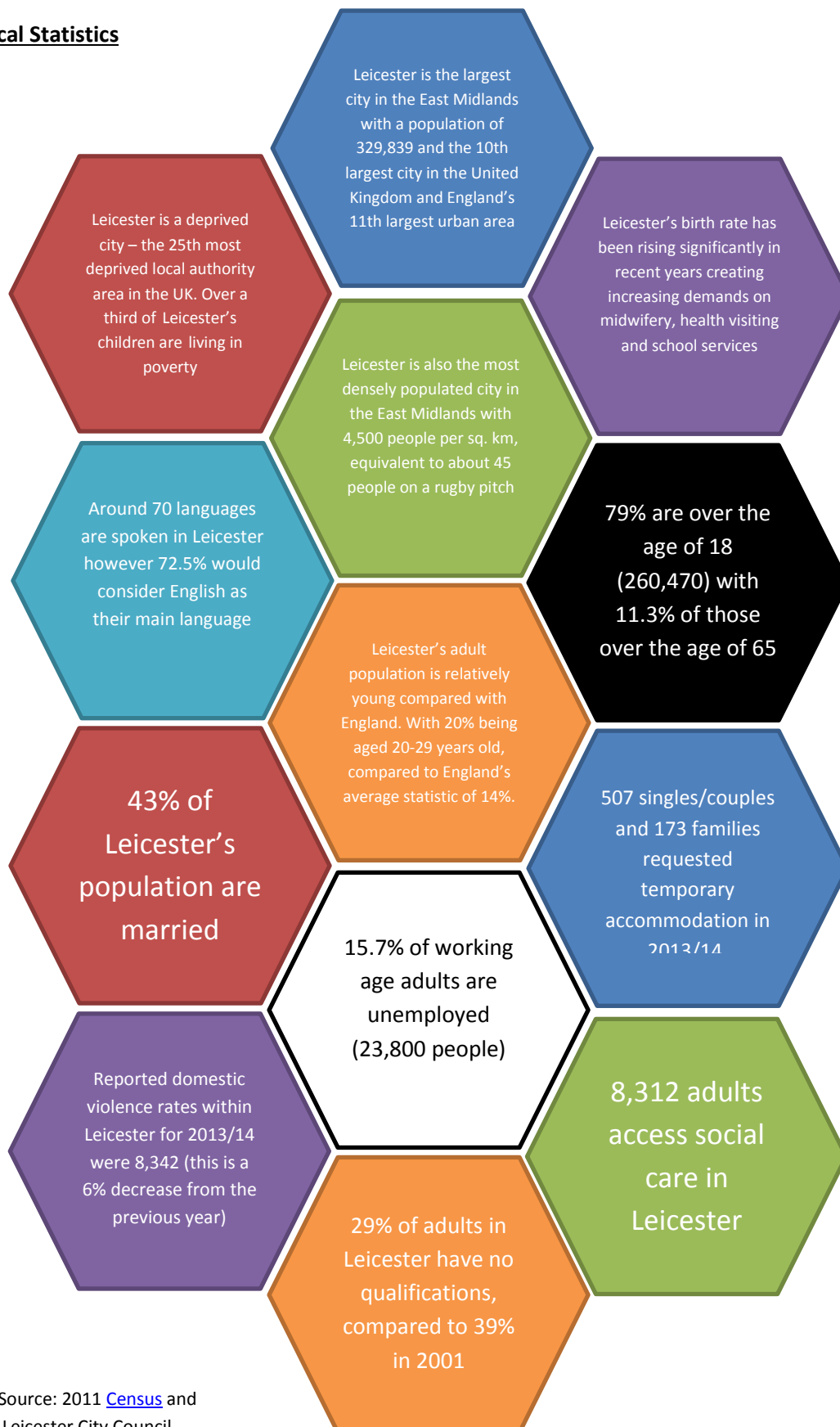
2.7 Issues and challenges facing safeguarding

The LSAB has the foundations in place to be effective, based on an effective partnership of organisations. This would be strengthened by the consistent attendance of all organisations at the Board and working groups.

Priorities for future work are identified in the report, and these have been included in the Strategic Plan 2014/15 (see chapter 8) which will be reviewed and amended to take account of any statutory guidance to implement the Care Act 2014. These include strengthening the involvement of service users and carers in the work of the Board, developing and implementing the performance framework so that it shapes future activity, completing the review of membership and governance and sustaining the Risk Register as an overview of areas of concern.

3. Local background and context

3.1 Local Statistics



Source: 2011 [Census](#) and Leicester City Council



Leicester has a diverse population when compared to that of the East Midlands and England. 45.1% say they are White British the next largest group being Asian/ Asian British: Indian at 28.3%.

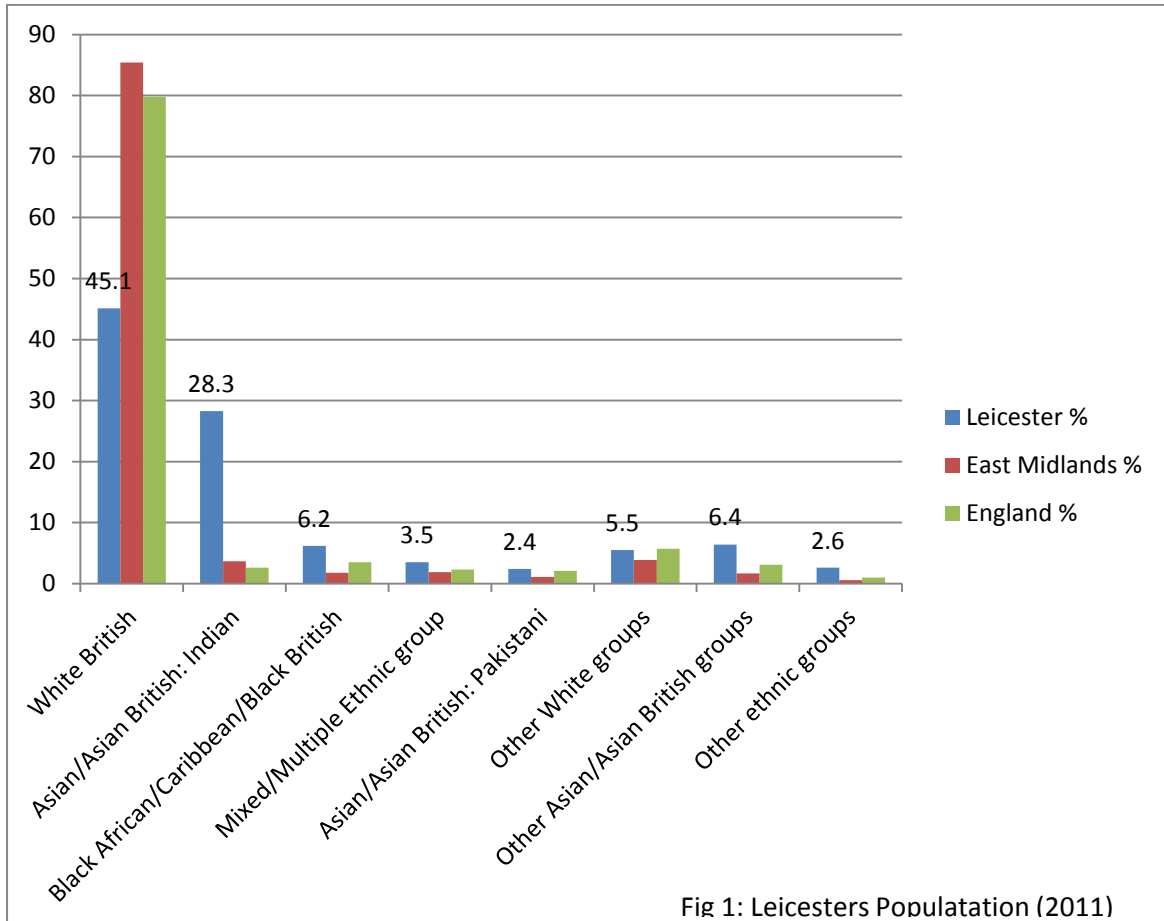


Fig 1: Leicesters Populataation (2011)

How many people reside in care/nursing homes, supported living or share lives schemes?

- 2259 living in residential or nursing care homes
- 281 in supported living placements
- 30 people on shared lives schemes
- 9% of Leicester residents provide unpaid care

Leicester has 114 care and nursing home providers within its borders, Leicester City Council contracts with 102 of these; and contracts with another with an additional 228 residential and nursing homes out of the area supporting Leicester residents

Deprivation of Liberty Safeguard applications for 2013/14

165 Urgent (7 days) and 194 Standard (28 days)

3.1 Deprivation of Liberty Safeguards (DoLS)

3.1.1 National Background

The Mental Capacity Act Deprivation of Liberty Safeguards (MCA DoLS) came into effect on 1st April 2009. These were introduced to prevent breaches of the European Convention on Human Rights (HCHR) where it was established that previously deprivations of liberty had not been:

- In accordance with a procedure prescribed by law thus breaching an individual's Article 5(1) human right of freedom of liberty, and;
- The deprivation was a contravention of Article 5(4) of the ECHR because individuals being deprived had no lawful means of appealing to a court to establish if the deprivation of liberty was lawful.

Its purpose is to provide safeguards for the lawful deprivation of liberty of people who lack the capacity to consent to arrangements made for their care or treatment in either hospitals or care homes, in which it was identified that a deprivation was required in the individuals best interests. Local authorities (designated as 'supervisory bodies' under the legislation) have statutory responsibility for operating and overseeing the MCA DoLS whilst hospitals and care homes ('managing authorities') have responsibility for applying to the relevant local authority for a Deprivation of Liberty authorisation.

The legislation includes a statutory requirement for all care homes and hospitals as well as local authorities to keep clear and comprehensive records for every person deprived of their liberty. This includes records of applications for authorisations, details of the assessment process, information about the relevant person's representative and the documentation related to termination of authorisation.

To monitor the implementation of the safeguards, Managing Authorities (hospitals, care homes and nursing homes) are required to submit standard forms to Supervisory Bodies (local authorities). Using these forms Supervisory Bodies complete a data collection sheet for central monitoring purposes submitted to the Department of Health.

3.1.2 National Developments

On 19th March 2014 the Supreme Court made a judgement on two cases which affected the way in which DoLS is perceived. The ruling – in the cases of P v Cheshire West and Chester Council and P&Q v Surrey County Council - threw out previous judgements that had defined deprivation of liberty more restrictively. This ruling widened the criteria of someone who could potentially be subject to a Deprivation of Liberty using a new set of criteria what is known as 'the acid test'. Since this judgement nationally areas have seen an increase in the amount of referrals they receive in their teams to process and capacity to cope with this demand has been a difficulty for all councils.

3.1.3 Local Developments and Support

From April 2014 the Leicester, Leicestershire and Rutland DoLS Team partnership came to an end and the Leicester City DoLS Team was created. Locally Leicester has had high numbers

of referrals generally due to good local awareness campaigns and training programmes for professionals.

The LSAB provides MCA and DoLS forums and masterclasses to professionals, the first forum was held in January 2014 with over 120 professionals applying and 90 in attendance from a range of organisations across Leicester. Since the rolling programme for these events has been implemented post April 2014 we have been seen similar in-takes and regionally, Leicester has been praised for its forums as best practice. The forums aims to raise awareness of the MCA and DoLS agendas and allow staff to come together in a group forum to discuss their experiences and receive information/ hear presentations from speakers who are key in these fields.

The forums also offer the opportunity for staff to network and ask questions on what can be perceived as a very complicated area of work. The LSAB also utilise their e-newsletter to communicate the changes to the MCA and DoLS work on a local and national level.

Locally, the supervisory bodies have been working on both written and verbal communications to brief professionals on the changes brought about by the Supreme Court rulings and project plans have been put in motion to scope out who is affected by these new criteria. Independent Best Interest Assessors have been utilised to cope with local demand with an increase in referrals seen in 2014/15. Local groups will be concentrating on this issue over the coming months.

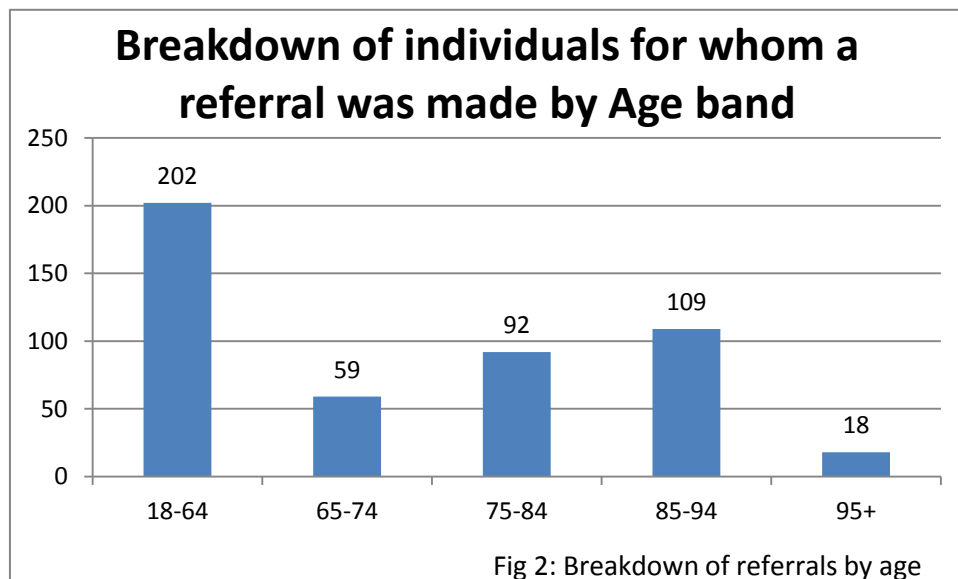
There are plans in place for 2014/15 for the LSAB to work on a joint project across Leicester, Leicestershire, Lincolnshire and Rutland Safeguarding Boards on an MCA/ DoLS programme of work funded by NHS England during a recent successful project bid exercise.

The LSAB will work with the LSCB to utilise the safeguarding boards conference scheduled for November 2014 as platform to disseminate the changes provided by the ruling; we await national guidance being developed for further national updates on the subject.

3.2 Safeguarding Statistics

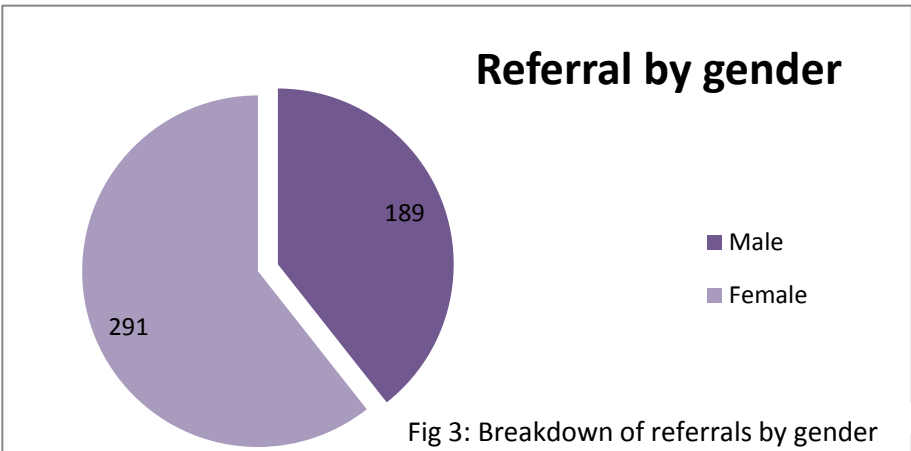
Leicester City Council, as the lead agency for safeguarding within the local area collates information on the number of safeguarding referrals completed over the year. This information is standardised as requested by the Department of Health and submitted yearly to them to review safeguarding activity in the round for the whole of England. These returns were previously called 'Abuse of Vulnerable Adult' returns (AVAs) however from April 2013 the criteria were changed and these are now known as 'Safeguarding Adults Returns'; it is therefore no longer possible to compare or analyse trends for 2013-14 safeguarding data to their previous years. Below is a breakdown of the safeguarding data submitted for 2013-14.

- Number of **safeguarding referrals for those aged 18 and over** received in the year 1st April 2013 – 31st March 2014:
 - Including duplicate¹ = **528**
 - Unique people (excluding duplicates) = **480**



42% related to those that were aged 18-64; 58% for those aged 65 and over

61% female and 39% male



¹ Definition of duplicate will mean more than one referral in the year.

Breakdown of individuals for whom a referral was made by Primary Client Type

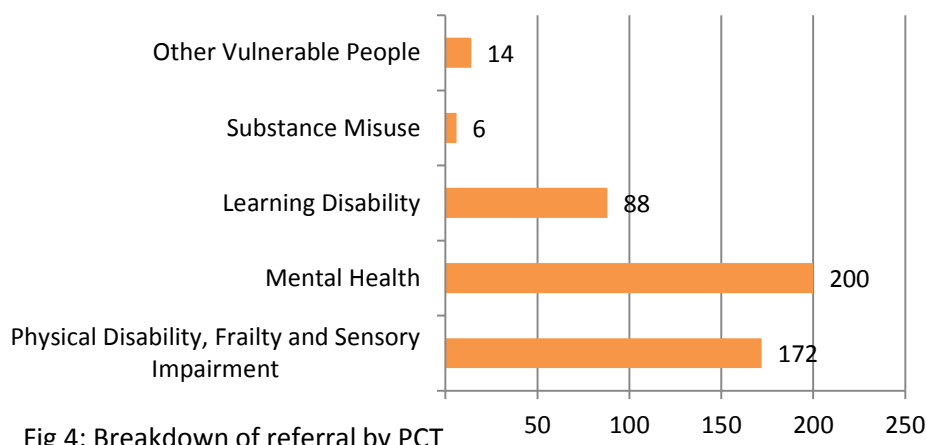


Fig 4: Breakdown of referral by PCT

42% were for those with mental health issues followed by 36% for those with Physical Disability, Frailty or Sensory Impairment and 18% for those with Learning Disability

Majority (77%) of the safeguarding referrals were for the White ethnic group followed by 18% for those that were Asian or Asian British. Only 3% were for those that were Black or Black British

Breakdown of individuals for whom a referral was made by Ethnicity

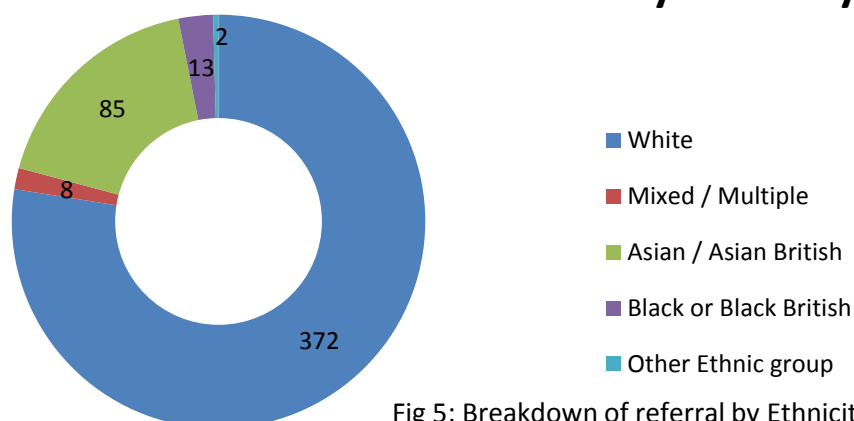
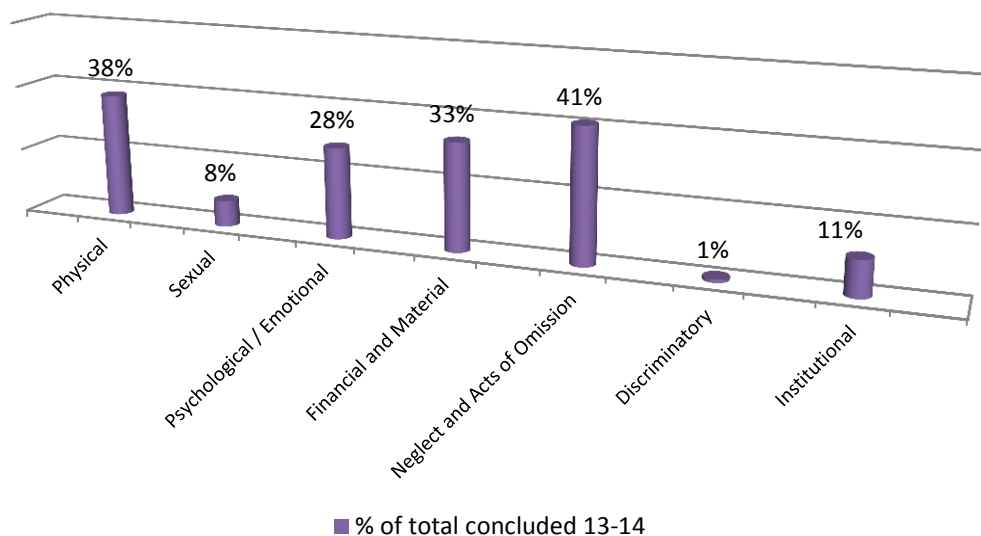


Fig 5: Breakdown of referral by Ethnicity

Concluded referrals – 1/4/2013 – 31/3/2014

- Number of **safeguarding referrals that were concluded** during the period 1st April 2013 – 31st March 2014 (regardless when they started) = 592
- **Of which:**
 - 163 (28%) – Individual or organisation paid contracted or commissioned and is believed to the potential source of risk
 - 381 (64%) – Other (e.g. family carer, relative, Health care staff, social care staff, police, regulator etc.) – Known to the individual
 - 48 (8%) – Other – unknown to individual

Concluded referrals by type of alleged abuse or risk



For 2013-14 neglect and acts of omission (41%) was the largest alleged type of abuse followed by 38% for physical abuse; 33% for financial and material and 28% for psychological / emotional abuse.

Fig 6: Concluded referrals by risk type

Concluded referrals by location or setting where the alleged abuse took place

44% of alleged abuse took place in a Care home setting followed closely by 39% in their own home

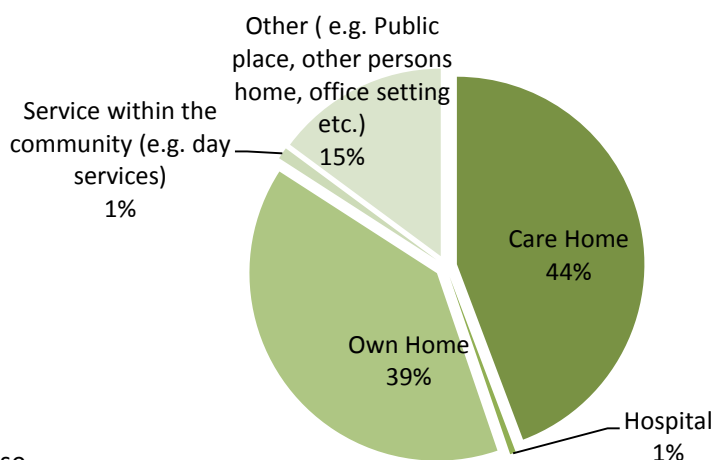


Fig 7: Concluded referrals by location of abuse

Completed safeguarding referrals – by conclusion

Conclusion	No	% of total concluded
Substantiated fully	169	28% (34% - 12-13)
Substantiated – partly	92	16% (12% - 12-13)
Inconclusive	101	17%
Not substantiated	202	34% (37% - 12-13)
Investigation ceased at individuals request	28	5%
Total concluded referrals	592	

- 28% (168) out of the total no of concluded referrals (592) were assessed as lacking capacity to make one or more decisions in relation to the safeguarding process. Out of which 136 (81%) were represented or supported by an advocate, family or friends

4. Statutory and legislative context for LSABs

4.1 Background for Safeguarding Adult Boards

Safeguarding Adults Boards are an inter-agency, strategic partnership for the protection of vulnerable adults, set up in accordance with Section 3 of the statutory guidance *No Secrets* (published by the Department of Health, [March 2000](#)). Additional guidance by the Association of Directors of Adult Social Services (ADASS) was published in [October 2005](#) to guide safeguarding activity and promote best practice; it was revised in [March 2013](#) to reflect the draft Care Bill (see table below for more information).

The latest guidance from ADASS identified the following elements as contributing to effective boards: a dynamic chair, good governance, sound strategy and planning, holding people to account, having active members, conducting intelligent commissioning, joined-up risk management and proactive communications. The guidance also introduced the idea of conducting Adult Reviews which can adopt a range of methodologies and be more flexible than a traditional Serious Case Review, allowing the process to be more flexible and engaging and for the learning to be greater. This way forward was suggested noting the various pitfalls with the traditional 'Working Together Chapter 8 [March 2010](#)' methodology which has been identified in various reviews, including that of Professor Eileen Muro's published in [May 2011](#). This is also reflected in LSCBs through an amended Working Together document published in [March 2013](#).

In [May 2011](#) the Law Commission published proposals for the consolidation and revision of adult social care legislation, noting that Safeguarding Adult Boards would benefit greatly from being put on a statutory footing. The report made recommendations for a single clear modern statute and code of practice as a foundation for a coherent social care system. The majority of these recommendations were accepted by the Government, leading to the the Care and Support Bill, later becoming The Care Act 2014.

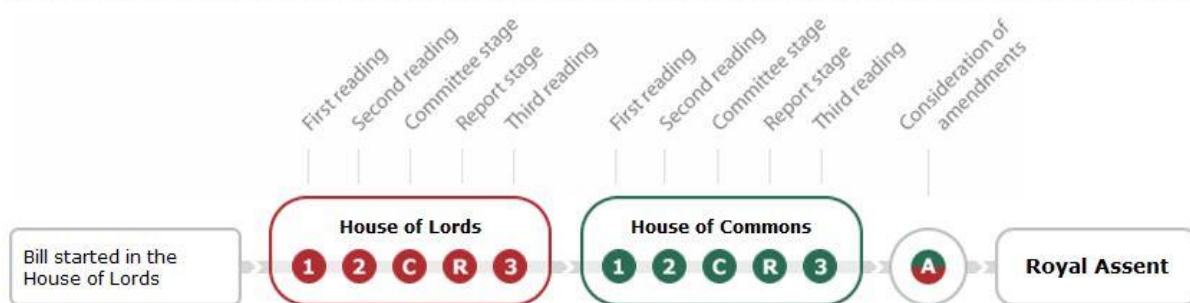
4.2 Present status and the future for Safeguarding Adult Boards

The Care Bill started its journey with its first reading in the House of Lords in May 2013. It received royal assent in May 2014, with a timeline for the Care Act to be implemented from April 2015. The journey of the bill is outlined below. During this period, the LSAB has been project planning, based on the draft version of the bill, to ensure it is 'statutory ready'.

Since the Care Act received royal assent, the [Care and Support Statutory Guidance](#) was released in June 2014 for consultation².




² Safeguarding is covered under Chapter 14 of the document, pages 191-224.

Progress of the Bill



- Following the publication of the draft Care Bill and the subsequent Care Act, a benchmarking exercise was conducted to review what work was needed to ensure our SAB was compliant with the new requirement within The Care Act. A table of the findings can be found below.

New statutory requirement	What the board office did	Statutory ready?
A new core membership consisting of the local authority, the local clinical commissioning group and the chief officer of police.	The statutory core members are already members of the LSAB. It was agreed at the January 2014 LSAB annual development day to review board membership to maximise engagement from agencies.	
Appointment of a chair	In 2010 the LSAB jointly recruited an Independent Chair (with the LSCB) using a job specification outlining the skills and expertise required for the role	
A SAB must regulate its own procedure	The LSAB, jointly with the L&RSAB published a local safeguarding adults procedure entitled 'No Secrets' which was updated in January 2010. The LSAB has a procedures group to oversee future amendments and has been active in creating a new document during 2013/14. The LSAB also has a constitution, values statement, protocols with related bodies and other key documentation which are regularly refreshed at annual development days.	
A joint pot of funding by agencies should be created toward SAB work SAB members may provide staff, goods, services, accommodation or other resources for purposes connected with the SAB	The LSAB has operated a pooled multi-agency budget contributed by key statutory partners since its creation in 2010. The board office accommodation and resources are provided by the local authority. Agencies take the lead on projects and provide resources in kind for putting on conferences and other events (for example venues and speakers).	

New statutory requirement	What the board office did	Statutory ready?
A SAB must publish for each financial year its “strategic plan”	<p>Since its creation the SAB has created and reported progress on a strategic plan outlining its objectives for the year and actions needed.</p> <p>Overall yearly progress is reported in annual reports.</p> <p>A three year “business plan” (now referred to as the Strategic Plan) for the years 2012-2015 has been refreshed annually; this is aligned to the SAB’s strategic priorities.</p>	
A SAB must produce an annual report and share this with a specific set of agencies.	<p>Since its creation the SAB has produced an outward facing annual report.</p> <p>In 2013/14 the Independent Chair met with all statutory chief executives within Leicester, formally presented the annual report and reviewed multi-agency cooperation.</p> <p>The newly created Health and Wellbeing Board formally received the annual report</p> <p>The annual report is published on the SAB’s website</p> <p>The Independent Chair has bi-annual meetings with the City Mayor and the Assistant Mayor (lead member) for Adults and Older People.</p>	
A SAB must conduct Adult Reviews	<p>The LSAB has had in place since its creation a Serious Case Review Sub-Group. The group has refreshed its name and terms of reference in 2013 to reflect the new terminology and wider way of working. It also works with the LRSAB and the LSCBs to create a Review Framework identifying different types of review and methodologies that the group can commission.</p>	
<p>Areas for additional work to become statutory compliant</p> <ul style="list-style-type: none"> - Engage the newly created Health Watch, established in 2014/15. - Complete work with the Leicestershire and Rutland Safeguarding Adults Board to publish a revised version of local multi-agency policy and procedures, to reference new information provided by The Care Act and associated statutory documentation; this will be in readiness for the Care Act implementation from April 2014. 		

5. Governance and accountability arrangements

5.1 Structure

Board membership includes statutory bodies and representatives of voluntary and private sector providers (Appendix A). The diagram within Appendix B shows the relationships between the various structures and the LSAB.

The Board meets on a quarterly basis with an additional annual development day.

Attendance at the board by partner agencies is reported in appendix C.

The LSAB is independent. It is not the subordinate to, nor subsumed within any other local structures. This enables the Board to provide effective scrutiny,

The local partnership and accountability arrangements are specified within the board constitution, available on the LSAB website.

5.2 Infrastructure Arrangements

The Board office is hosted by Leicester City Council. It is located in the city council premises at Grey Friars, Leicester, LE1 5PH.

The staff consisted of the full time Board Manager, during the year in question, located in the City Council Safeguarding Unit.

Due to the additional workload arising from new statutory requirements, a new post of Board Officer has been created in 2014/15.

Job Descriptions for the Board Manager and Board Officer are available on request.

5.3 Independent Chair Arrangements

Dr David N. Jones, the Independent Chair of the LSAB and LSCB, was appointed in April 2010 on a 3 year contract. His contract was renewed during the year for a further 3 years to April 2016. A central responsibility of the Independent Chair is to hold all agencies to account for their work in relation to safeguarding.

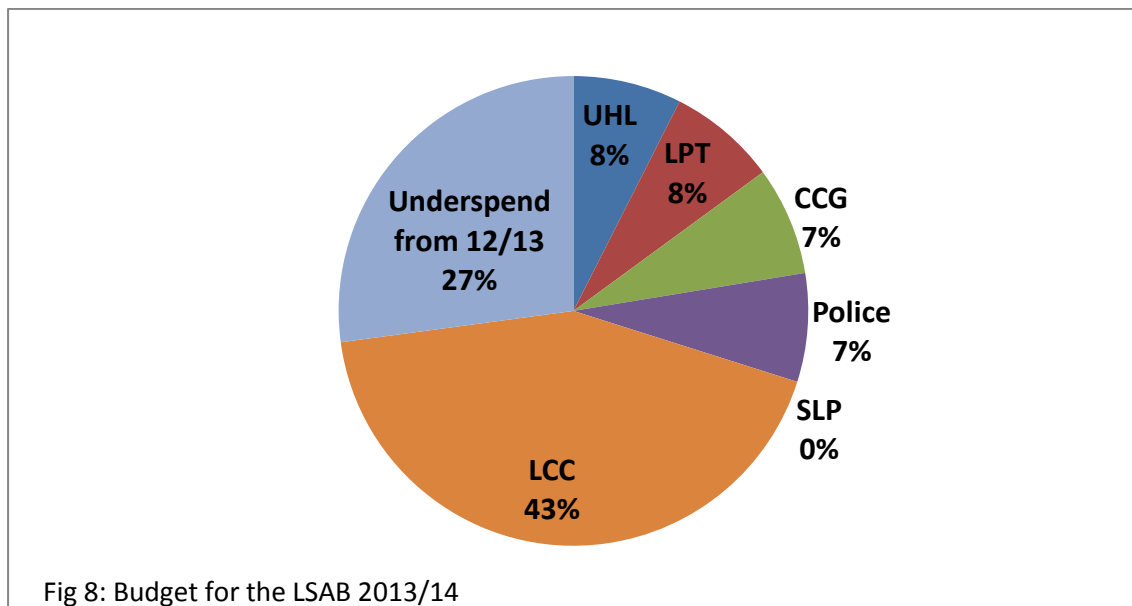
Job Description for the Independent Chair role is available on request.

5.4 LSAB Budget and Expenditure

The contributions from the partner agencies during 2013/14 were agreed and received as follows:

- 48,900 Leicester City Council (LCC)
- 8,500 The Clinical Commissioning Group for Leicester (CCG)
- 8,500 University Hospitals of Leicester (UHL)
- 8,500 Leicestershire Partnership Trust (LPT)
- 8,500 Leicestershire Police
- 30,871 Underspend carried forward from 2012/13

5.5 Total Budget for LSAB 2013/14 = £113,771



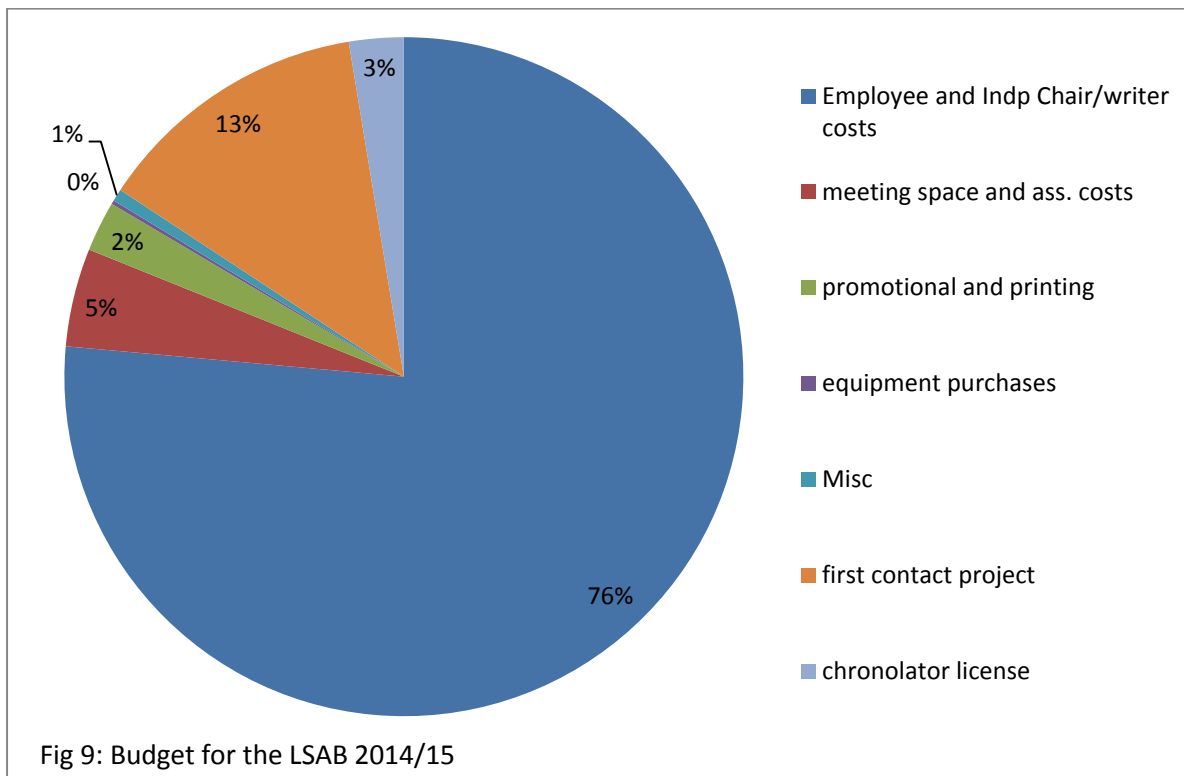
5.6 Additional Board Contributions by Leicester City Council only (these are in-kind and have no tangible monetary value to the Board)

- Half a post – Partnerships and Strategy Manager
- Half a post – Senior Practice Professional
- Fulltime Safeguarding Adults Training Co-ordinator
- First Contact Scheme start-up costs (first six months)

The total additional resources by LCC = est. £101,500

5.7 Expenditure from the budget in 2013/14

Cost areas agreed as part of the LSAB Strategic Plan	Total 2013/14 spend
Staff costs (including overview report writer costs)	56005
Expenses and conference	945
Conference event and room costs	3314
LSAB Procedures	0
Communication and Raising Awareness costs	1696
First Contact Project	9300
Other	2386
TOTAL	£82,700



6. The work of the LSAB for 2013/14

6.1 The Board has in place the following strategic objectives:

1. To ensure effective implementation of the procedural arrangements for investigating safeguarding allegations and to evaluate the effectiveness of agency intervention and interagency partnership working.
2. To enhance public awareness of the risk of harm and facilitate appropriate referrals of safeguarding concerns.
3. To promote health and wellbeing through interagency programmes aiming to prevent abuse and ill treatment.
4. To build workforce confidence by providing a consistent set of safeguarding messages to staff across Leicester
5. To undertake detailed scrutiny of cases where there have been significant concerns about the quality of practice and partnership working and to disseminate the learning from such reviews.
6. To strengthen partnership working within the board structure and specifically to develop service user, carer and community participation in the work of the board.

6.2 The following work streams and sub-groups were created to implement these:

1. Safeguarding Effectiveness Group
2. Adult Review and Learning Group
3. Partnerships and Communication Work-stream
4. Health, Wellbeing and Prevention Work-stream
5. Building Workforce Confidence Work-stream

6.3 Each area has either a chair (for the groups) or a work-stream lead. Additional task and finish groups area created as needed for specific pieces of work. You can see the governance of each of these groups is described in the LSAB structure chart in appendix B; terms of reference for the groups can be obtained from the Board office.

Reviewing Strategic Plan Activity

6.4 Below outlines the strategic plan prepared for 2013/14 and the process of each action.

Building workforce confidence

Action	Progress update at the end of 2013/14	Completed?
Establish a refreshed LSAB multi-agency training programme, according to option agreed by board members, in line with new LLR competencies framework, agreed across LLR. Consistent messages given across the partnership according to job role.	A decision was made, in October 2013, that the Board would no longer offer multiagency safeguarding training. The Board had been offering training in line with the core Safeguarding training programme for example Alerters, Referrers and so on. Moving forward, this was handed back to agencies to provide 'in house'.	Decision made that this would no longer be applicable. A training competency framework was introduced to review effectiveness of in-house provision instead.
Devise and plan road shows on national changes to safeguarding adults procedures following law commission recommendations. To ensure Leicester is adhering to the new national legislation and guidance and workers are confident in understanding the new way of working.	A Procedures sub group was established to design and devise a regional procedures document. This work has stalled, due to changes in staff and operational constraints and the procedures are still being developed. Road-shows did not take place.	Ongoing – revised timeline to coincide with Care Act implementation in 2015.
Revise current professional practice strategy in relation to the above changes. To ensure Leicester is adhering to the new national legislation and guidance	Masterclasses and forums were introduced to ensure that people were kept up to date with any legislative changes	Completed
Begin multi-agency DV awareness workshops across LLR, jointly organised/delivered with LSCB. To understand the parallels in these two processes concerning vulnerable adults and look at the benefits of them being incorporated into the safeguarding training programme. Links in with 'Think Family' and encourages better working between adults and children's services.	Multi agency DV workshops were established in conjunction with the LSCB.	Completed
Train and support the Service User Group to enable Service Users to fully participate in LSAB work.	Due to ongoing issues with the fluctuating membership of this group and Board expectations, this work did not go ahead.	Membership of this group to be reviewed before training and support will commence.

6.5 Additional work undertaken under the Building workforce confidence work-stream

- Training input offered to GP's, Health visitors and Student Nurse as part of their learning and development.
- A new Competency Framework was designed, and approved, across LLR . This also included devising Guides to Assessing Competency and paperwork to support Managers to record competence effectively.
- During 2013/14, the Board started to offer Safeguarding masterclasses and MCA forums. The masterclasses provided focused workshops that enabled delegates to consolidate learning, gain better insight and understanding into an area of Safeguarding practise. The MCA forums provide an opportunity to discuss and debate current MCA practise and issues.

Adult review and learning group (previously known as the Serious Case Review Sub-group)

Action	Progress update at the end of 2013/14	Completed?
Continue to receive serious incidents for consideration for Adult Review and Domestic Homicide Review	2 Domestic Homicide Reviews were conducted within the period.	This is an integral and continuous function of the group.
Hold an annual briefing on findings from local reviews in conjunction with the LSCB. Disseminate findings to staff.	No adult reviews were completed in 2013/14. DHRs submitted to the Home Office are still awaiting approval prior to publication. Dissemination of the findings forms part of the 2014/15 LSAB "Learning and Development Programme". The Home Office provided a presentation at the joint Safeguarding Boards conference which incorporated national lessons learnt from reviews.	Yes however will form part of a rolling programme into 2014/15.
Monitor SCR/SILP and DHR Action Plan Completion and formally hand over to the SEG to monitor the embedding of these actions. To ensure lessons are learnt from reviews and improvements are made and sustained	In 2013/14 the Adult Review and Learning Group received assurances and evidence from agencies on the completion of Adult Review actions. 5 remained 'in progress' and these will be reviewed in 2014/15. A template and process for formally handing over completed action from reviews to the Safeguarding Effectiveness Group was created and this was completed.	Yes, however 5 "in progress" actions will remain on the Multi-Agency Action Plan and be reviewed in 2014/15.
Identify changes to the SCR process following pending statutory changes (from the Law Commission review) and change the multi-agency policy and procedures accordingly. To ensure we are compliant with national changes.	The group amended its name and terms of reference in line with the new terminology and responsibilities to reference 'Adult Reviews'. Adult Review criteria and processes will form part of the overall revisions to the Multi-Agency Safeguarding Adults Policy and Procedures in 2014/15.	Yes, as additional guidance comes out in 2014/15 this will be re-reviewed to ensure the Group is fit for purpose.

Partnerships and communication

Action	Progress update at the end of 2013/14	Completed?
First Contact – Complete Phase 1 implementation - Develop and evaluate project and service user outcomes	A framework for measuring outcomes and benefits from the FC scheme has been developed and is functional for quarterly reporting.	YES
First Contact – Continue with Phase 2 Implementation	Further development of project including new partnerships and strategy for future sustainability	ON-GOING into 2014/15
Develop strategy for effective public participation including focused contact with underrepresented groups.	Refreshed public participation strategy, utilising a wider range of engagement systems to involve a wider section of the public in a more sustainable way	ON-GOING into 2014/15

Health wellbeing and prevention

Action	Progress update at the end of 2013/14	Completed?
Explore the potential of working in Partnership with Trading Standards on a campaign to raise awareness of financial abuse.	It was agreed by the LSAB that this item was better aligned to the work of the Safer Leicester Partnership. As a result this work-stream was moved from the LSAB partnership to the Safer Leicester Partnership to monitor completion.	Continues within Safer Leicester Partnership
To create a task and finish group to strategically analyse work currently being done with unregulated services including Personal Assistants to those with Individual Budgets identify gaps and provide recommendations to the board. To provide the LSAB with a view of the work being undertaken to protect vulnerable adults in these settings/circumstances.	A presentation was provided to the LSAB in December 2013 by the local authority and a service user led organisation explaining existing work ongoing in relation to this item by board members currently including assurance measures. It was agreed by the LSAB that this good partnership work should continue as planned and as a result this item on the strategic plan was removed for 2013/14.	Action removed from the strategic plan
Create guidance for staff working with service users who refuse services, and incorporate into the Multi-agency policy and procedures. To aid workers with decision making and understand to engage with those vulnerable adults who are hard to reach.	Vulnerable Adults at Risk Management Guidance was created; the LSAB provided X2 1 day masterclass workshops in March 2014 to over 80 multi-agency practitioners. Materials used on the day can be found on the LSAB website. This will be incorporated into multi-agency procedures as part of the wider revision programme in 2014/15.	Yes

Safeguarding effectiveness

Action	Progress update at the end of 2013/14	Completed?
<p>Monitor agencies embedding learning from SCRs through obtaining internal Single Agency Case File Audits (SACFAs). To ensure learning from SCRs informs frontline practice including training, supervision awareness.</p>	<p>Safeguarding Adults Assurance Framework (SAAF) – the group had worked on a Leicester City specific assurance tool but the Board partners identified that they wanted a tool that was congruent with their other safeguarding assurance requirements so that they did not have to provide multiple reports. THE SEG responded to the challenge in partnership with the Leicestershire and Rutland LSAB and developed the board assurance on the health SAAF. Both boards incorporated additional assurance requirements into the SAAF. The outcome was that a joint SAAF Audit was circulated by the board in November 2013 to SAB partners to seek assurance against both strategies and processes. The audit was completed by 11 board partners and this provides a holistic perspective of partners which in turn provided a baseline for the SAB on partners on the effectiveness of their safeguarding arrangements. The conclusions of the audit were that partners scored themselves as effective in their safeguarding activities. Patterns identified common themes as working towards which include PREVENT and taking into account patient, service user and carer experiences. No real concerns were highlighted as a result of analysing the responses. The SEG has committed to improving the usability of the document to improve the quality of the returns for 2014/2015 and to seek responses from all board partners.</p>	<p>An LLR SAAF was compiled in Autumn 2013 and completed by partners in December 2013 and a report compiled of the findings was circulated January 2014. It has been agreed that going into the new year another annual audit will be completed with revisions to questions and format.</p>
<p>Maintain the LSAB Risk Register. To ensure appropriate risks are identified and highlight to the board and ensure mitigations are put in place.</p>	<p>LSAB Risk Register – all of the above is considered by SEG. Where required risks are noted on the board risk register, this is then reported to the Executive Committee. It has now been agreed that the risk register will be presented to each board meeting. A key risk has been the ability of agencies to attend LSAB and sub-groups</p>	<p>Updated bi-monthly and reported to the board quarterly.</p>
<p>Create a tool to carry out file audits based on</p>	<p>The Leicester Safeguarding Children Board</p>	<p>For 2014/2015</p>

local/national models and good practice in conjunction with local partners. To ensure agencies are learning from Adult Reviews and Policy and Procedures are being used appropriately.	developed a Multi-Agency Case File Audit (MCFA) format which has been tried and tested and invited the SAB to undertake a joint audit where both children and adult safeguarding issues are identified to capture a 'think family perspective'. The ground work was developed and the tool reaffirmed by the SAB and a joint case and an audit took place in May 2014.	two joint Adults and Childrens MACFA's will be completed on annual basis
Undertake a MACFA using the agreed tool. To enable monitoring of multi-agency learning.	Joint tool agreed between Local Safeguarding Children Board (LSCB) and SAB SEG's.	Rolled forward to 2014/15 (see above)
Work with the universities to research ways to engage and capture vulnerable adults experiences/ patient stories. To ensure the LSAB understands service user views and experiences of safeguarding to enable the LSAB to commission work to respond to issues arising.	SEG has considered that work with universities is not a separate entity to the work of the group and should be integrated across SB work streams. Both LSCB and SAB are working with DMU in regard to the Board development day in autumn 2014.	Rolled forward to 2014/15 (see above)
Ensure the Multi-agency Safeguarding Adults policy and procedures are fit for purpose in preparation for the launch of the Care and Support Bill. To ensure staff act appropriately in safeguarding situations and are supported to do so.	The Multi-Agency Safeguarding Adults policy is being updated by Leicester / Leicestershire and Rutland SAB's. At present this is work in progress. The lack of updated procedures has been highlighted as a risk to the Board.	Rolled forward to 2014/15 (see above)
Review the effectiveness of the service user groups involvement/participation in LSAB activity. To ensure that the service user engagement work the LSAB is doing is truly engaging all client groups.	Due to changes to the service user group the group has not recently been meeting. However, measures have been put in place to gain the voice of service users which can then inform the work of SAB.	Rolled forward to 2014/15 (see above)
Plan and participate in the LSAB Development Day. To ensure the LSAB have effective development.	Board self-assessment questionnaire – used as part of development day and has been used to inform the work of the board	Completed
Receive individual agencies annual reports for formal submission to SEG 2012/2013. To ensure the LSAB is aware of each agencies annual workload.	All LSAB partners collect data on their own individual performance in relation to safeguarding adults and publish data within their own annual reports. SEG has received data from partners e.g. CCG GP training data, Leicester Partnership Trust Safeguarding staff audit. Also annual reports (were completed) are submitted to SEG which includes organisational safeguarding adult data. In addition key areas of work have included:	Completed
Coordinate the completion of pressures report for the LSAB Executive Chair to report on at the LSAB. Compile a picture of safeguarding across Leicester using key information and context/pressure reporting.	A demands report was compiled and presented to the LSAB in June. It is agreed that this will continue into 2014/15 as a joint report with the LSCB.	Completed
Review effectiveness of new training programme. To ensure that the new	Training competency framework – now in	Completed

programme is fit for purpose.	place.	
Work with the region in developing a performance framework for adult safeguarding. To review documentation and see if this can be adopted locally.	The below safeguarding indicators work has been informed by a regional East Midlands Safeguarding Adults workshop; and the SEG has enhanced its original key indicator data set as a result of these discussions.	Completed
Coordinate compilation of indicators to new template. Compile a picture of safeguarding across Leicester using key information and context/pressure reporting.	Safeguarding Performance Indicators - SEG had developed a collection of key adult safeguarding indicators, which were strengthened in 2013/2014 and following consultation with board partners will for 2014/2015 has been distributed with partners being notified of dates for the submission of data to the board office. Data will be captured on a quarterly basis and reported to the board on a bi-annual basis. In addition the Board Manager and SEG Chair attended a regional event in December 2013 to share work that was being undertaken in Leicester and this was positively received, in addition we did incorporate elements discussed within the performance framework for 2014/15.	Completed

- 6.6 The safeguarding effective group recognises, that to ensure that safeguarding of adults in Leicester City is robust; we must ensure the sources we gather the evidence from are diverse. The evidence must include statistical measures and be supported by both qualitative and quantitative methods.

7. Issues and challenges facing safeguarding – statement of effectiveness of safeguarding arrangements in local area

7.1 A summary from the Safeguarding Effectiveness Group Chair

The LSAB has the foundations in place to be effective, based on an effective partnership of organisations, led by our Independent Chair with the support of the Board Manager. This would be strengthened by the consistent attendance of all organisations at the Board and working groups, which would deliver a more consistent overview and contribution.

The LSAB has the opportunity to enhance its effectiveness through:

- Implementation of the requirements of the Care Act 2014.
- Agreement of thresholds for the new duty for local authorities to carry out enquires (or causes others to do so) where it suspects adults are at risk of abuse or neglect. To ensure compliance, health and social care must agree the thresholds for referring safeguarding incidents which arise in health settings into the local authority.
- Implementation of the governance review and related matters which followed the analysis of the board effectiveness questionnaire
- Revalidation of the performance framework following local and regional consultation. Our key challenge is to ensure we are able to report the data set to ensure that the board is assured that the agencies are effective safeguarding adults within Leicester City.
- Submission of evidence from all partner agencies using the agreed performance indicators, to provide assurance and insight into partnership working.
- Completion of joint multi-agency case file audits (MACFAs) with the LSCB – enabling the Board to seek a frontline perspective and evaluate the effectiveness of processes to safeguarding adults in need of protection in individual cases.

7.2 Achievements:

- Care Act Compliant.
- Performance Indicators in place – regional contribution.
- Agreement of joint SAAF with County and Rutland Board.
- Risk register – challenge to ensure it is meaningful and to ensure it can be used by the Board to inform what is happening at the front-line and how this can support effective safeguarding across the partnerships.
- Case presentations to each Board meeting – this aims to present a user voice on a safeguarding incident or to examine a specific case, enabling Board member to reflect on the user experience as well as organisational issues.

7.3 Issues and Challenges for 2014/15

- SAB partners to submit data to SEG within agreed timescales.
- SAB partners to commit to representation at SEG (and other SAB meetings).
- Challenge to ensure that all partners complete SAAF in November 2014.
- Re-establishment of service user group to have meaningful impact on the business of SAB
- Agreeing a comparable budget with the LSCB to ensure parity and priority of safeguarding adult agenda.
- Annual development days to be used as a time for reflection, utilising board member questionnaires and their feedback to shape the agenda.
- Review of LSAB governance process required as part of review of agency contribution
- Risk register needs to be informed by the use of the demands report – needs to ensure the Board is picking up the critical messages and that the Risk register is an active and reliable tool for evaluating and managing risks.

8. Conclusion and recommendations for future priorities and Strategic Plan

- 8.1 This report has set out a wide range of activities undertaken during 2013/14 to sustain, develop and improve the safeguarding arrangements for adults in Leicester. Earlier chapters have also addressed areas of need for future work.
- 8.2 The report concludes that there is a good foundation for safeguarding in Leicester with good partnership working and interesting new initiatives. However there is a need for a more consistent approach to partnership working in practice settings and consistent implementation of agreed initiatives.
- 8.3 The Strategic Plan 2014/15 includes the following priorities:
- Strengthen engagement with service users, carers and others with experience of the safeguarding system, enabling them to influence service development and monitor performance
 - Monitor the impact of recent legal rulings on arrangements for Deprivation of Liberty Safeguards (DoLS) and ensure appropriate use of DoLS across all agencies
 - Develop the performance monitoring framework under the aegis of the Safeguarding Effectiveness Group, developing an informed and robust understanding of the quality of practice and the impact on individuals and the community
 - Extend Multi-Agency Case File Audits in partnership with LSCB where appropriate
 - Achieve more consistent engagement of agencies at working group meetings and the Board itself
 - Reviewing the budget and resource requirements for the Board structures and service delivery to ensure compliance with the new duties in the Care Act 2014
 - Review of LSAB governance and implementation of the new membership arrangements and group structure
 - Complete the review of operational procedures and ensure that Board policies and agency service delivery is compliant with the Care Act 2014
 - Maintenance of the Risk Register
- 8.4 There is every reason to be confident that the agency partners in Leicester can rise to this challenge and that, despite the resource pressures and increasing demand, service improvements can be delivered and there can be an appropriate response to safeguarding concerns in Leicester. The Board will review and amend the Strategic Plan to take account of any statutory guidance to implement the Care Act 2014.

Strategic Plan 2014/15

Building Workforce Confidence

Work stream Lead: Sarah Taylor

Action	Outcome of completing action	Work stream allocation and leadership	Timescale for completion
Consolidate Board Training Programme	There will be an established training plan that reflects current priorities and changes and is offered across the Board area. The plan will be promoted on the LSAB website/newsletters and via internal agency mediums. Effective monitored by the training effectiveness group and annual report submitted to SEG. Attendance at training part of SEG Basket of indicators.	Building Workforce Confidence Work stream Lead	Quarter 1 and reviewed regularly
Actively promote new competency framework	Agencies/ services are aware of their responsibilities under the new competency framework. Information and updates to be shared at Trainers Network and via LSAB website/newsletters. Training Effectiveness Group to conduct annual QA dip-sample of providers and services and report to SEG. Statutory agencies to complete SAF.	Building Workforce Confidence Work stream Lead	Quarter 1-2
Develop additional materials to support Competency framework and assessment skills (in conjunction with County)	Managers/supervisors are provided with information and support to enable them to assess staff competence in an effective manner. Guides to completing evidence logs and assessing competence will be available on Board websites. Additional materials will be available on the LSAB website.	Building Workforce Confidence Work stream Lead	Quarter 1
Devise and distribute information re impact of Care Bill on Safeguarding practise. (due to be implemented from 2015)	Leicester is in line with current guidance and best practise. Appropriate information is disseminated, via websites/ newsletters/ internal mechanisms and made available across the Board area. Training effectiveness group will monitor the distribution of information.	Building Workforce Confidence Work stream Lead	Quarter 3-4
Continue to maintain effective links with	People working across the region and sectors are receiving a consistent message. Joint training will be commissioned to reflect current thinking across Adult's and Children's services. Joint events will have	Building Workforce	On going

County and the LSCB to ensure a consistent approach across adults/children services	taken place and evaluated. Attendance figures produced and made available. Where appropriate, LLR documents are disseminated and adopted.	Confidence Work stream Lead	
Explore opportunities to develop learning /practise in line with changes implemented in the Children and Families Act	Increased awareness of changes under C&F Act and any implications for practise, particularly for the 16-25 age group. Close working with LSCB to develop learning and development opportunities. Meetings with LSCB and proposed way forward, agreed and minuted. Information/workshops devised and delivered.	Building Workforce Confidence Work stream Lead	Quarter 2-3
Continue to provide DASH/DV training in conjunction with LSCB	Increased awareness of DASH/DV and the impact on children/adults and families. Closer working. Identified training opportunities will be made available. Records of attendance.	Building Workforce Confidence Work stream Lead	Ongoing
Set up the training effectiveness sub group to quality assure the Board training programme and safeguarding learning across the City.	Established training effectiveness group, with reps across the agencies, whose remit is to evaluate the effectiveness and outcomes of Safeguarding learning across the Board area. Minutes will be taken at each meeting and regular reports and updates will feed into SEG. Annual QA report to be submitted to SEG.	Building Workforce Confidence Work stream Lead	Quarter 1

Partnership and Communication

Work stream Lead: Jennifer Williams

Action	Outcome of Completing Action	Work- stream allocation and Leadership	Timescale for completion
First Contact – Phase 2 Implementation	The following objective will have been achieved: An expanded referrals system for the FC scheme will be embedded with partner agencies; now serving vulnerable people aged 18 with unmet needs.	Partnerships and Communication Work stream lead	June 2014
First Contact – Project Evaluation	The following product will have been developed: A framework for measuring outcomes and benefits from the FC scheme to be developed and functional for quarterly reporting.	Partnerships and Communication Work stream lead	August 2014
First Contact – Future Strategy	The following product will be developed: An options paper and procurement strategy for the future sustainability of the project.	Partnerships and Communication Work stream lead	October 2014
Refresh participation strategy	The following product will be developed: A refreshed public participation strategy, utilising relevant and appropriate systems of engagement to involve a wider section of the public in the work of the Board.	Partnerships and Communication Work stream lead	August 2014
Service User Group Development	The following objective will have been achieved: A resilient and sustainable group of public participants, meeting regularly, with clarity of governance, purpose and objectives in reference to its autonomous operation and its relationship with the LSAB and the stated priorities thereof.	Partnerships and Communication Work stream lead	December 2015

Adult Review and Learning Group (ARLG)

Sub-group lead: Ruth Lake

Action	Outcome of Completing Action	Work- stream allocation and Leadership	Timescale for completion
To ensure significant incidents are analysed at a multi-agency level	ARLG to commission and oversee Adult Reviews and Domestic Homicide Reviews on behalf of the LSAB and Community Safety Partnership. Presentations on the review to be provided to the LSAB and CSP.	ARLG Sub-Group Chair	On-going work
To ensure the LSAB partnership are learning from reviews undertaken and changes are being made	ARLG to monitor and discuss Adult Review and DHR action plans on a tri-annual basis. This will be evidenced from minutes of ARLG meetings.	LSAB Manager	On-going work
To ensure lessons are getting out to frontline workers and enable workers to take time out to discuss cases in detail	ARLG to feed outputs of local reviews into annual lessons learnt briefings held by the SAB. These events to be built into the 2014/15 training plan. Attendance and evaluations from briefings will feed into the training effectiveness group (This action cross references with the Building Workforce Confidence work plan)	Building Workforce Confidence Lead	Annually
To develop clear information sharing protocols with L&RSAB re county cases in city locations (and vice versa)	Increase the opportunity for lessons to be learnt about local cases particularly given acute and MH hospital settings are city-centric. Transferable learning to be fed into the lessons learnt briefings. Discussions of cross county cases to be evidenced in ARLG minutes.	ARLG Sub-Group Chair	On-going
To ensure clear arrangements for receiving information about suicide risks and lessons learnt	Ensure appropriate representation is made on the Suicide Prevention Group (SPG) from the ARLG. To receive feedback from representative members, this to be evidenced in ARLG minutes. Lessons learnt from suicide cases which are brought to the ARLG to be shared at the lessons learnt briefings.	Cross ARLG members and SPG members	June 2014

Safeguarding Effectiveness Group (SEG)

Sub-group lead: Adrian Spanswick

Action	Outcome of Completing Action	Work- stream allocation and Leadership	Timescale for completion
To ensure appropriate risks are identified and highlight to the board and ensure mitigations are put in place.	Maintain the LSAB Risk Register A formal risk raising procedure has been developed and this has been shared with LSAB members. Ensure the risk register is a standard item on the LSAB and the SEG agendas.	SEG Chair	Reviewed bi-monthly. Reported to the board quarterly
To enable monitoring of multi-agency learning.	Undertake multi-agency case file audit (MACFA) learning opportunities using the agree methodology. Output from the audit will be a final report with recommendations and an action plan. SEG schedules to undertake minimum of 2 MACFAs per year.	SEG Chair	May and October
To ensure the Multi-agency Safeguarding Adults policy and procedures are congruent with the Care Act.	To update the policy and procedures using information from the Care Act, associated regulation and best practice guidance produced by ADASS and the Department of Health.	LLR SABs Procedures Group Chair	Q4
To ensure the LSAB have regular and effective development	Produce and disseminate a board member questionnaire in Q3 to inform the planning of the LSAB Development Day in Q4.	SEG Chair	Questionnaire disseminated November 2014 Development day January 2015.
To ensure the LSAB is aware of each agencies annual workload and pressures	Receive individual agencies annual reports / activity summaries for formal submission to SEG 2013/2014 which informs sections of the LSABs annual report and strategic planning. Coordination and completion of single agency 'demands' report for the LSAB Executive Chair to report on at the LSAB.	SEG Chair	Annual reports/activity summaries to be received in Q2. Pressure report to be ready for September LSAB
Review of the Safeguarding Adult Assurance Framework in conjunction with the	To review documentation following submissions by SAB partners to ensure SAAF is a robust and holistic to provide a overarching view of organisational safeguarding provisions/ activity in Leicester <ul style="list-style-type: none"> Review of Questions 	SEG Chair	Q2 to complete review (Sept) Q3 to distribute for completion by

Leicestershire and Rutland Safeguarding Adults Board	<ul style="list-style-type: none"> • Format • Guidance notes • Agency sign up to 2014 submission 		agencies (Nov) Q4 to report outcomes to board (Jan)
Refresh the SAB indicators and coordinate quarterly compilation for reporting to the board	Compile a picture of safeguarding across Leicester using key information and context/pressure reporting.	SEG Chair	Refreshed indicators to be ready and agreed by April 2014 New indicators to be collected from 1 st April 2014. Reported to SEG in July and the Board in September.
To create a clear outward facing publication in regards to how the SAB learns and improves as a partnership	Development of a local Learning and Improvement Framework for 2014/15 in line with best practice models used by LSCBs.	The LSAB Business Office, with oversight from the Safeguarding Effectiveness Group	Q3

9. Appendices

Appendix A- Joint LSAB and LSCB Values Statement

Values Statement which we are committed to with the Leicester Safeguarding Children Board:

1. All people of Leicester have the right to:
 - dignity, choice and respect
 - protection from abuse and/or neglect
 - effective and co-ordinated work by all agencies to ensure a holistic child/person centred response
 - the best possible outcomes, regardless of their age, gender, ability, race, ethnicity, religion, sexual orientation and circumstances
 - high quality service provision
2. Safeguarding the wellbeing of children, young people and adults is a responsibility we all share.
3. Openness, transparency and sustainability will underpin the work of the Boards.
4. Participation by children, young people and adults is essential to inform services, policies, procedures and practices.
5. Services to meet the individual needs of children, young people and adults aspire to reach the highest standards.
6. Celebration of strengths and positive achievements is important to the Boards, as is the commitment to a process of continuous development and improvement.
7. Constructive shared learning to protect children, young people and adults will be integral to the Boards' business.

Appendix B- The Leicester Safeguarding Adults Board 2013-2014 membership

Independent Chair: David N. Jones

Representing Leicester City Council

Deb Watson	Strategic Director, Adults and Communities
Ruth Lake	Director, Adult Social Care and Safeguarding/ Chair of the LSAB Executive Group
Stephen Vickers	Head of Service, Adult Safeguarding/ Chair of the LLR Procedures Group
Andy Smith	Director, Social Care and Safeguarding (Children)/ Chair of the LSCB Executive Group
Ann Branson	Director, Housing Strategy and Options
Cllr Rita Patel	Assistant Mayor, Adults and Older People
Ronald Ruddock	Manager, Trading Standards/ Health Wellbeing and Prevention Lead
Daxa Pancholi	Head of Service, Community Safety

Representing the Health Community

Carole Ribbins	Director of Nursing, UHL
Dawn Leese	Director of Nursing and Quality, Leicester CCG
Adrian Spanswick	Consultant / Designated Nurse Safeguarding (Children and Adults)/ Chair of the Safeguarding Effectiveness Group
Richard Chester	Executive Director of Quality, LPT
Lee Bretnall	Clinical Quality Manager, EMAS
Teck K Khong	(Dr) Board Member of the Leicester City Clinical Commissioning Group City.
Nelson Lo	(Dr) Named Doctor Safeguarding Adults / Consultant Geriatrician, UHL
Manjit Darby	Leicester, Leicestershire and Lincolnshire, Local Area Team NHS England

Representing Police, Probation, Prisons and Fire Services

David Sandall	Detective Superintendent and represent the Delivering Justice Directorate
Carolyn Maclean	Director of Leicester City Local Delivery Unit
Graham Batchford	Governor, HMPS Welford Road
Steve Lunn	Director of Community Safety, Fire and Rescue Services

Representing the Voluntary and Provider Sector

Allison Cowley	East Midlands Care Association (EMCARE)
Stephen Cooper	Leicestershire Centre for Integrated Living
Theresa Oldman	IMCA services, PoWHER
Sally Taylor	Head of Supported Housing, EMHA

Representing the Education Community

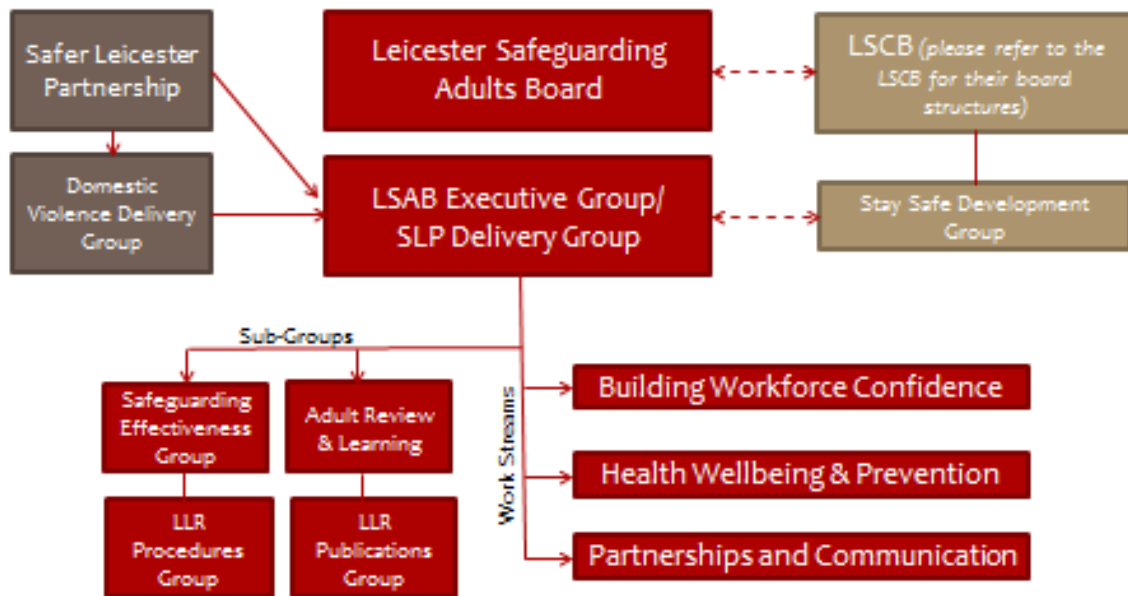
Jackie Martin	Principal Lecturer, DeMontfort University
Angela-North Rose	Head of School, DeMontfort University
Anna Chesters	Safeguarding Lead, DeMontfort University

LSAB Officers

Kelly-Anne Moran	LSAB Manager
Jennifer Williams	Partnerships and Communications Lead (part time resource)
Sarah Taylor	Building Workforce Confidence Lead (part time resource)

Appendix C- The Leicester Safeguarding Adults Board Structure

Leicester Safeguarding Adults Board Governance Structure



NB: The work streams and sub-groups create task and finish groups as required for specific pieces of work

Appendix D – LSAB Attendance Record 2013/14

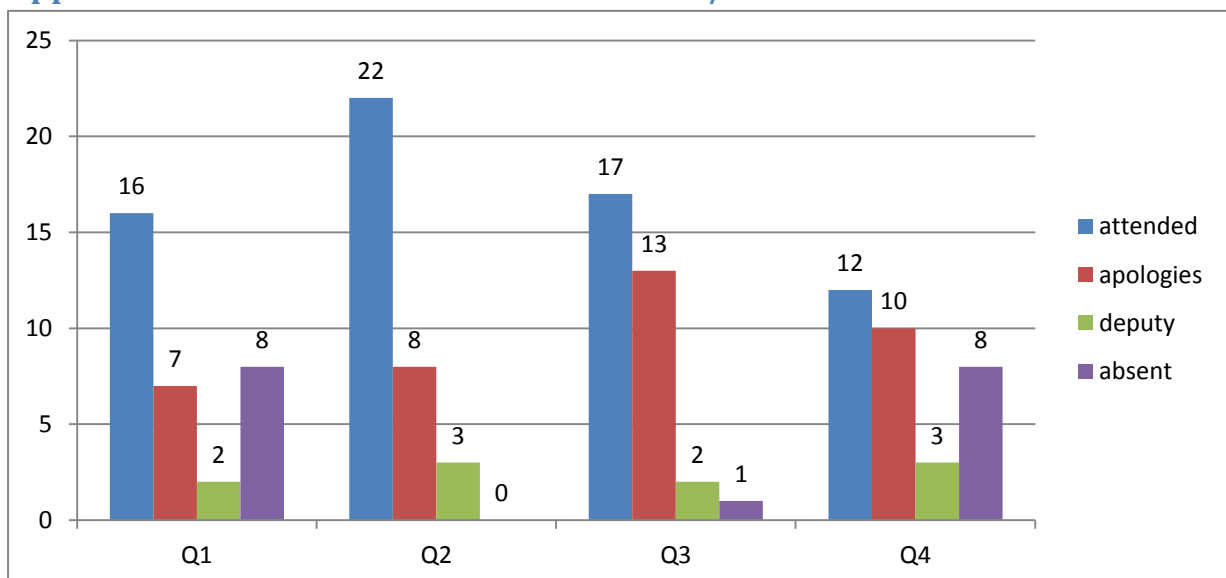


Fig10: 2013/14 board attendance

Appendix E - Glossary of terms

Definitions

Abuse of Vulnerable Adults (AVAs) data return

Introduced in 2010, this is a statistical report produced by the Health and Social Care Information Centre. Councils were required to submit a statutory return (with voluntary elements) required by the Department of Health in relation to their recorded safeguarding activity.

Safeguarding Adult Returns (SARs)

Introduced in 2013, the Safeguarding Adults Return (SAR) is a new collection of tables that have been designed as a successor to the Abuse of Vulnerable Adults (AVA) Return. The SAR addresses various aspects of safeguarding, with particular regard to the details of the victim, the alleged perpetrator and the alleged offence. Due to this difference it is not possible to compare like for like returns from AVA / SARs collections.

Safeguarding referral

A referral is defined as a report of risk of potential abuse, harm or neglect which leads to investigation under the safeguarding process. Note that the term 'referral' in this context relates only to safeguarding referrals, and not to referrals for community care assessments.

Primary Client Group/ Type (PCT)

Primary client group is a professional decision based on the individual's circumstances, not solely an administrative categorisation, for the purposes of allocation to a particular specialist team.

Safeguarding conclusion/ concluded referrals

A concluded referral is defined as when the active investigation has been undertaken and where the formal conclusion is recorded as one of the following:

- *Substantiated – fully* - This refers to cases where it was concluded that all the allegations made against the individual or organisation were verified "on the balance of probabilities". Where allegations of multiple types of abuse are being considered against an individual or organisation then all will need to be proved for it to be defined as fully substantiated.
- *Substantiated – partially* - This refers to cases where there are allegations of multiple types of abuse being considered against an individual or organisation. Verification will be partial where "on the balance of probabilities" it was concluded that one or more, but not all, of the alleged types of abuse were proved. For example, if a referral includes allegations of physical abuse and neglect and the physical abuse can be proved on the balance of probabilities, but there is not enough evidence to support the allegation of neglect, the referral will be partially substantiated.
- *Inconclusive* - This refers to cases where there is insufficient evidence to allow a conclusion to be reached. This will include cases where, for example, the individual subject

to the referral, the individual believed to be the source of the risk or a key witness passed away before they could provide statements as part of the assessment or investigation.

- *Not substantiated* - This refers to cases where “on the balance of probabilities” the allegations are unfounded, unsupported or disproved.
- *Investigation ceased at individual’s request* - This refers to cases where the individual at risk does not wish for an investigation to proceed, for whatever reason, and so preclude a conclusion being reached.

Census

The census is a way of systematically acquiring and recording information about the members of a given population. In the UK these are held every 10 years by way of a questionnaire sent to households. These statistics help paint a picture of the nation and how we live. They provide a detailed snapshot of the population and its characteristics, and underpin funding allocation to provide public services and are published in a government report by the Office of National Statistics.

Healthwatch

The Health and Social Care Act 2012 sets out that local Healthwatch bodies will be established in April 2013. Healthwatch is the new consumer champion for both health and social care. It will exist in two distinct forms – local Healthwatch and Healthwatch England. The aim of local Healthwatch is to give citizens and communities a stronger voice to influence and challenge how health and social care services are provided within their locality. For full information on the local Healthwatch please visit their website.

Acronyms/Abbreviations

- University Hospitals of Leicester NHS Trust (UHL)
- Leicester City Council (LCC)
- Leicestershire Partnership Trust (LPT)
- Leicestershire and Rutland Safeguarding Adults Board (LRSAB)
- Local/ Leicester Safeguarding Children Board (LSCB)
- Leicester Safeguarding Adults Board (LSAB)
- Serious Case Review (SCR)
- Serious Incident Learning Process (SILP)
- Domestic Homicide Review (DHR)

Appendix F – Board Contact Details

For more information on the work of the Leicester Safeguarding Adults Board, please visit our [website](#).

You can contact the Board office in the following ways:

Telephone: 0116 454 6270

Fax: 0116 454 0720

Email: LSAB@leicester.gov.uk