

AGE UK EXETER

Controlled Document

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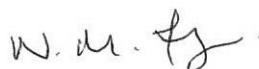
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Signed:

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Document Description

Age UK Exeter (AUKE) is committed to safeguarding and protecting people from abuse. This policy and its appendices provide an overview of safeguarding principles and give clear procedures to managers, staff, and volunteers.

Implementation and Quality Assurance

Implementation is immediate and this policy shall stay in force until any alterations are formally agreed.

The policy will be reviewed every year by the Board of Trustees, sooner if legislation, best practice, or other circumstances indicate this is necessary.

All aspects of this policy shall be open to review at any time. If you have any comments or suggestions on the content of this policy, please contact the CEO on, info@ageukexeter.org.uk or at Age UK Exeter, The Sycamores, Mount Pleasant Road, Exeter, EX4 7AE, 01392 202092.

Safeguarding Policy

1. Introduction

AUKE is committed to safeguarding and protecting people from abuse. The purpose of this policy and its appendices is to provide an overview of types of abuse and exploitation, to improve recognition, to outline the responsibilities of staff and volunteers, to specify the process by which we will respond to safeguarding concerns and to highlight the key arrangements in place to promote and protect the welfare of those we work with.

2. Policy Statement

AUKE is committed to the right of all adults to live in safety without fear of abuse, neglect, or exploitation, and to have their dignity and preferences respected.

We recognise that abuse can be perpetrated by anyone: staff, volunteers, other service users, family, or members of the public.

We follow Torbay and Devon Safeguarding Adults Partnership's guidance to ensure that reported concerns and allegations are followed up in a professional, timely and respectful manner. The Torbay and Devon Safeguarding Adults Partnership (TDSAP) was founded in 2021 by Devon County Council and Torbay and South Devon NHS Foundation Trust as a requirement of the Care Act 2014. It provides strategic leadership for adult safeguarding across Torbay and Devon.

3. Responsibilities

The responsibilities of AUKE are:

- To have clear and robust safeguarding procedures in place
- To arrange suitable and relevant training and updates for staff and volunteers
- To report concerns to Devon Safeguarding Adults Service as appropriate.

Responsibilities of the Line Manager are:

- To listen to concerns raised by staff and volunteers and to advise appropriately.
- To discuss with the Chief Executive Officer or Senior Management Team and act as advised.
- To keep a record of all concerns and actions taken as outlined in the procedures appended to this policy.
- To escalate to Devon Safeguarding Adults Service as appropriate.

Responsibilities of staff and volunteers

- To attend all required safeguarding training.
- To adhere to the Safeguarding Policy and Procedures at all times.

- To report any concerns or disclosures to their line manager within 24 hours: Recognise, Respond, Record and Report.

4. Key Principles of Adult Safeguarding

We follow the six key principles underpinning all adult safeguarding work:

Empowerment: individualised approach, person-led decisions, and informed consent

Prevention: It is better to act before harm occurs

Proportionality: the least intrusive response appropriate to the risk presented

Protection: support and representation for those in greatest need

Partnership: services working with their communities; communities playing a part in preventing, detecting, and reporting neglect and abuse

Accountability: accountability and transparency in delivering safeguarding

5. What is abuse and exploitation?

Abuse is an intentional or unintentional act that harms, hurts or exploits another individual/s. Abuse and exploitation can take many forms and are outlined in Appendix 1. No type of abuse or exploitation is acceptable.

6. Who is an adult at risk?

The Care Act 2014 redefined who may be seen as a 'vulnerable adult' and refers instead to 'adults at risk'. An adult at risk may be any person aged 18 years or over who has care and support needs *and*

- is experiencing or is at risk of abuse or neglect *and*
- is unable to protect themselves because of their care and support needs.

7. Health and Wellbeing

Good physical and emotional health are key to living a fulfilled life. When someone is struggling to cope, either physically or mentally, it can lead to more serious issues and have a negative impact on their life. Staff and volunteers at AUKE should have an awareness of:

- Self-harm
- Risk of suicide
- Mental capacity

Concerns relating to these areas should be reported to the line manager who will be able to signpost to further support. Please note these may be outside organisations or services that can offer specialist advice and support.

8. Safeguarding Children

AUKE works with adults, but from time-to-time will come into contact with children under the age of 18, through pupils on work experience placed within the

organisation, event volunteers and fundraisers, and because there may be children in the household of families that we support.

If a member of staff or volunteer has any concerns that a child is suffering abuse or is at risk of suffering abuse, they must report this to their line manager within one working day. If there is an immediate risk of harm the staff member or volunteer should ring 999.

The responsible manager receiving any such concern will discuss it with the Chief Executive Officer and if appropriate make a referral to the Devon Multi Agency Safeguarding Hub (MASH) by phoning 0345 155 1071 or emailing mashsecure@devon.gcsx.gov.uk. A record of the concern and action (ROCA) taken or not taken will be recorded and the ROCA uploaded to Charitylog as outlined in Appendix 3.

AUKE protects school placements and volunteers under the age of 18 by:

- Ensuring staff are DBS checked.
- Ensuring that young people are not in one-to-one situations with clients, carers, or members of the public.
- Ensuring that young people have a named member of staff or senior adult volunteer who provides supervision and a point of contact. Please see our Volunteering Policy for more information.

9. Mental Capacity Act (MCA) 2005

Mental capacity refers to the ability to make a decision about a particular matter at the time the decision needs to be made. Please see our Mental Capacity Act Policy for further information. Issues of capacity may cross over with safeguarding issues in terms of abuse and exploitation. Please particularly note the growing area of concern around Predatory Marriage in Appendix 1.

All service managers and leads attend local authority training at least every 3 years to understand the principles of the Mental Capacity Act. All staff and volunteers can also have access to online mental capacity training via Grey Matter Learning facilitated by Age UK.

10. Implementation

Reporting and responding to a concern

It is the responsibility of all staff and volunteers to ensure that any concerns arising from situations they observe, allegations (reports from third parties) or disclosures (reports from someone about themselves) relating to potential abuse, are reported to their line manager within one working day, even if they are unsure whether the concern is justified. Refer to Appendix 2 for more guidance.

If the line manager is not available, then a report should be made to any of the Senior Management Team. If it is after 5pm, the weekend or bank holiday, staff should ring the out of hours emergency mobile number 0799 039 7946 to be put through to a senior manager. If staff are unable to contact a senior manager and there is an immediate and urgent risk to personal safety, they should call 999. The safeguarding concern should then be reported to Devon Safeguarding Adults Service on 0345 155 1007 or the Emergency Duty Service (out of hours) on 0845 6000 388. Refer to Appendix 3 for more information about reporting a safeguarding concern.

When a concern has been reported, the line manager will discuss the matter with the person raising the concern before consulting with a member of the Senior Management Team to decide on what action should be taken, and who the responsible manager will be. The responsible manager will ensure that the safeguarding concern is appropriately actioned and recorded. Where appropriate, Devon Safeguarding Adults Service's guidance will be followed, and the matter will be reported to them and to other statutory bodies (e.g. the police) for their consideration and action. If it is believed that someone is in immediate danger, the police will be called straight away. Refer to Appendices 3 and 4 for further guidance.

The consent of the adult deemed to be at risk will normally be sought, before information is shared, in line with the principles outlined above. In some cases, it may not be practical or safe to seek such consent, or the adult may lack capacity in relation to this issue. In these cases, a referral, or at least a discussion may take place without active consent.

In some circumstances an adult with capacity may refuse consent but a referral is still made because it is deemed *either* that the risk of physical harm is so serious that the withholding of their consent isn't reasonable, or because another adult or child is at risk, or where there is an overriding public interest. An example of the latter would be an allegation of abuse made against a staff member of an agency providing personal care where the potential risk to other adults would outweigh the lack of consent. The reasons for a referral without consent will be recorded carefully. AUKE will seek the advice of Devon Safeguarding Adults Service where there is doubt or concern about consent or capacity issues.

If the concern raised is regarding children, or if the concern is such (e.g. domestic abuse) that it will impact on any children at the same address, the matter will be discussed with Devon County's Multi-Agency Safeguarding Hub on 0345 155 1071. See section 8 above. Again, if it is felt there is immediate danger the police should be contacted.

If a member of staff or a volunteer believes that their line manager is involved in, or colluding with any potential abuse, they should raise their concern with a senior manager, a trustee or with Devon Safeguarding Adults Service on 0345 155 1007. Staff and volunteers raising genuine concerns about colleagues or managers within AUKE will be supported and their job/role will be unaffected by such action. Please refer to the Whistleblowing Policy for more detail.

11. Staff Selection, Training and Support

As part of its commitment to safeguarding adults, AUKE follows safer recruitment processes when recruiting and selecting staff. These are set out in the Safer Recruitment Policy and DBS Policy.

Induction and Training

New staff and volunteers receive a thorough induction when they join AUKE, including condensed training, safeguarding training, manual handling, and professional boundaries training. Some staff will also complete training specific to their role. All staff are introduced to the policy portfolio and given copies of our core policies, which they sign-off that they have read. New staff also discuss AUKE'S Code of Conduct and Core Values. The importance of following the organisation's safeguarding procedures is emphasised and it is made clear that breaches are treated seriously. Updates and changes are communicated through supervision, team meetings, in-house newsletters, and policy reviews.

Supervision and Support

Staff providing services directly to our clients benefit from regular one to one sessions and an annual appraisal so that they receive adequate support and opportunities to develop their good practice. Additionally, informal opportunities to seek advice or exchange information with their line manager or a senior manager are provided throughout the week. All managers have an open-door policy.

All volunteers working with clients have a named line manager with whom they liaise about their work, and one to one or group support is offered as appropriate. Please refer to the Staff Development Policy.

Safeguarding Staff and Volunteers

As well as safeguarding our clients, it is of the utmost importance to AUKE that we safeguard our staff from harassment, abuse, discriminatory behaviour, and misconduct. We aim to ensure staff are well trained and prepared for practice. We do this by having:

- A robust lone working policy
- Assessment visits
- Risk assessments
- Timely escalation of concerns

- 'Pairing' for practice where there are concerns
- Clear point of contact
- Robust reporting systems, including colleagues knowing where staff and volunteers are, and a discreet and clear way to raise the alarm
- Robust reporting of any concerns, including note taking to detail situations that caused concern at the time.
- Clear detailing of accidents, incidents and near misses.
- Action learning out of incidents.
- Debriefing and support for staff who have been involved in a significant incident or need further support in supporting clients.

12. Record keeping

All AUKE activity relating to the people we support is recorded on the Charitylog database. Consent to keep the record and general consent to share is sought and recorded at first assessment. The record allows us to share relevant information across services and to take a holistic approach in providing support as the person's circumstances change. Where ongoing services (such as groups or home support) are accessed, regular reviews with the client ensure that records are kept up to date, and that we can contribute positively to multi-agency discussions as appropriate.

The detail of individual safeguarding concerns is recorded on a ROCA (Record of Concern and Action) which is password protected and uploaded to Charitylog. Staff will only know the password on a 'need to know' basis.

More information about managing concerns and ongoing recording can be found in Appendix 5.

13. Monitoring

A safeguarding update is presented to each meeting of the Risk & Quality committee with an annual report to the Board of Trustees. Safeguarding entries are reviewed at least bimonthly by the CEO in preparation for the Risk committee. Recruitment, selection, induction and DBS processes are monitored by the HR and Finance Manager. Attendance at relevant safeguarding training is monitored by a named Administrative Assistant and records can be sampled on request.

14. Useful Phone Numbers

Age UK Exeter: 01392 202092

Enablers Office: 01392 455606

DCC Adult Social Care (Report a concern office hours) 0345 1551 007 or DCC 01392 381206

Emergency Duty Service (Out of Hours) 0345 6000 388.

Devon Safeguarding Adult Service Centralised Mailbox: for all referrals: adultsc.safeguardingadultservices-mailbox@devon.gov.uk

Revision History

Revision date	Summary of Changes	Other Comments
Jan 2015	Routine review by Board	Approved. Next review due Jan 17
5.9.16	Reviewed by Standards Committee Major changes plus addition of four appendices	Approved for recommendation for approval by Board subject to some amendments and input from QAIT.
13.9.16	No amendments required. Reviewed by Board.	Approved by Board. Next review Sept 2018
27.3.17	Amendments made to be compliant with DCC requirements. Main addition is a strengthened section on safeguarding children.	Approved by Standards committee by email on 27 March 2017. Recommended to the Board for approval on 11 April 2017.
11.4.17	Reviewed by the Board	Approved. Next review due April 2019
3.09.18	A new section 7 plus Appendix 5 added to include information on the Mental Capacity Act. Reviewed by Standards Committee.	Recommended to Board for approval.
11.09.18	Reviewed by Board. Approved	Next review due September 2020
6.1.20	Reviewed by the Standards Committee. Amended to reflect the changes in recording procedures.	Recommended to the Board for approval.
14.1.20	Reviewed and approved by the Board of Trustees	Next review due January 2022
4.7.2022	Routine review. A few minor tweaks around personnel plus: - Torbay and Devon Safeguarding Boards have been merged to form the Torbay & Devon Safeguarding Adults Partnership - Page 9 – definitions of abuse – exploitation has been amended to read <i>is a significant area of</i>	Next review due July 2023

	<i>harm and includes, county lines, radicalisation, scams etc</i> Approved unanimously by trustees via email 5 July 2022	
September 2023	Annual review in line with current best practice. Note new updates in appendix on exploitation. The Mental Capacity section was reduced, and a new MCA Policy signposted to. New section on Health and Wellbeing at 7 and Safeguarding Staff at 11.	Approved by Board 03.10.23
August 2024	Update to reflect centralisation of safeguarding under DCC. Now called Devon Safeguarding Adults Service.	Approved by Board 22.10.24
September 2025	Changes to job titles at section 13 and slight amendment to monitoring section to illustrate current processes.	

References

This policy has been prepared in accordance with:

Care Act 2014

Safeguarding Vulnerable Groups Act 2006

Mental Capacity Act 2005

Children Act 2004

Statutory Guidance: Working Together to Safeguard Children 2015

Torbay and Devon Safeguarding Adults Partnership Guidance

www.devonsafeguardingadultspartnership.org.uk

Appendix 1

What is Abuse and Exploitation?

Abuse can take many forms, including:

- Physical abuse
- Emotional abuse
- Self-neglect
- Sexual abuse
- Online abuse
- Neglect
- Domestic abuse
- Organisational abuse
- Stalking
- Discriminatory abuse
- Financial abuse
- Female genital mutilation

Exploitation is the deliberate manipulation of abuse of power used to have control over another person, usually for some form of gain. This can be for a range of reasons, including personal, financial, or sexual. Exploitation can take many forms including:

- Sexual exploitation
- Predatory marriage
- Modern slavery and human trafficking
- Radicalisation
- County Lines
- Scamming
- Blackmail
- Fraud
- Mate Crime.

Although sadly, exploitation and abuse can affect individuals of any age, predatory marriage and scamming are particularly known to affect older people disproportionately, so more detail is given here.

Predatory Marriage

Predatory marriage is an emerging form of exploitation which can happen to anyone. The Torbay and Devon Safeguarding Adults Partnership wants to raise awareness so that everyone is vigilant and can help stop this type of exploitation.

Older adults and adults who lack mental capacity are particularly at risk. Common features of this type of abuse are coercion and control and financial abuse. The grooming process is often hidden in plain sight and this type of abuse can target anyone, although currently is more commonly affecting older women.

Points to note:

- A person's existing Will is revoked when a marriage takes place, benefiting the new spouse, and this is near on impossible to challenge.
- Should there be a power of attorney acting on behalf of a person who is at risk, that attorney is not automatically notified when the person enters into marriage.

Scamming

Scamming is when someone misleads or deceives another through unsolicited or uninvited contact in order to obtain money. This could be by letter, email, phone or through advertising. Victims may also be targeted at home- doorstep scamming.

Appendix 2

Responding to Potential Abuse

A concern might arise from

- Something you *observe* (for example: bruises, a marked change in behaviour etc)
- An *allegation* that is made (for example you are told that someone has behaved inappropriately or put a client or colleague at risk)
- A *disclosure*: where a client tells you something about themselves or their circumstances that lead you to believe that they are being abused or are at risk of abuse.

The role of frontline staff and volunteers is to RECOGNISE, RESPOND, RECORD AND REPORT.

- 1) **If you observe** something that causes you concern (e.g. a bruise or burn), you should ask the client what happened, unless to ask would be inappropriate or cause further distress (e.g. if other people were present, or if the person was living with severe dementia)
- 2) You should record exactly what you have seen/been told at your earliest opportunity and report it to your line manager within one working day (see Appendix 3 for more information).
- 3) **If someone makes an allegation** to you, listen carefully and explain that you will need to pass these concerns to your line manager. Reassure them that their concerns will be taken seriously. If the allegation is made by a family member or a worker from another agency – take their name and contact details and assure them a manager from AUKE will contact them as soon as possible. Pass the information to your line manager as soon as possible, and within one working day. Please refer to Appendix 6 on managing allegations.
- 4) **If a client makes an allegation** of poor practice or abuse about a worker, follow the instructions for disclosure below.
- 5) **If someone discloses** potential or actual abuse to you:
 - Try not to show shock or disbelief

- Don't interrupt someone who is freely recalling significant events, allow them to tell you whatever they want to share
 - Listen carefully and reflect back what you are being told to ensure you have correctly grasped what is being said
 - Reassure the person that they are right to share this information with you; show empathy with them
 - Don't make promises to keep secrets – explain carefully that what they have said is worrying and that you have to share that with your line manager
 - Do not ask leading questions, ('So was it Peter who did that?') or attempt to 'investigate' in any way.
 - Don't make judgements
 - Do not contact the alleged abuser
 - Don't share this information with anyone other than your line manager
- 6) As soon as you can, write down an account of your conversation, try to use the words/phrases that the person used. Sign and date your record.
- 7) Refer to Appendix 3 about reporting.
- 8) Take up the opportunity for a debrief with your line manager; it can be profoundly upsetting to hear someone disclose abuse and it is not something you can discuss with other people.

If the person is injured or you judge that they are at immediate risk of serious harm – ring 999 and ask for the Police.

Appendix 3

Reporting a safeguarding concern

A) Recording your concern

1. As soon as you can, write down your concerns as a file note. If someone has made a disclosure to you, you should try to record their own words as well as you can. Don't add in your own interpretation of the situation – your notes should be as factual as possible. Sign and date them and keep them confidentially and securely. These notes will form the basis of the discussion you have when you report your concerns in.
2. Depending on your role, you may be asked to complete a Record of Concern and Action (ROCA) or if you are not office based your line manager may do that themselves based on the information you provide. Office based co-ordinators can access the ROCA on the shared docs channel or from their line manager. See below for the template.

Please remember it is **not** the role of AUKE staff to undertake any sort of investigation or to confront or question the alleged perpetrator if known. This role is only appropriate for social workers from the Safeguarding Adults Team and/or the police.

B) Reporting your concern

1. You must report your concern within 1 working day to your line manager by phone or in person. Please do not rely on text, email, or voice messages.
2. If your line manager is not available, you should ask for a member of the Senior Management Team or the Chief Executive Officer. Be persistent; explain that you have a safeguarding concern.
If it is after 5pm, the weekend or bank holidays and you do not feel you can wait for the next working day to report your concerns, for example if you judge there is a significant risk to the client if you wait; you should ring AUKE's out of hours mobile 0799 039 7946 and you will be put through to a senior manager who can help you. If for some reason you are unable to make contact with the senior manager, then you should call Devon Safeguarding Adults Service on **0345 155 1007 or 01392 381206** and tell them you wish to report an urgent safeguarding concern. The Devon Safeguarding Adult Service Centralised mailbox can also be used for all referrals at **adultsc.safeguardingadultservices-mailbox@devon.gov.uk**. On evenings, Sundays and Bank Holidays, in emergency only, please contact the Emergency Duty Service on 0845 6000 388.

If the concern relates to a child, ring the Devon Multi-Agency Safeguarding Hub on 0345 155 1071.

3. If you raise an urgent safeguarding alert with the Safeguarding Adults Service or the Out of Hours team, you will be asked for certain key information such as:
 - Name, address, gender of the person about whom you have concerns
 - Their date of birth
 - Their contact information – telephone or mobile numbers
 - Whether anyone else lives in the house, and whether they may also be at risk
 - What has prompted your concerns
 - Your name, role, contact information.

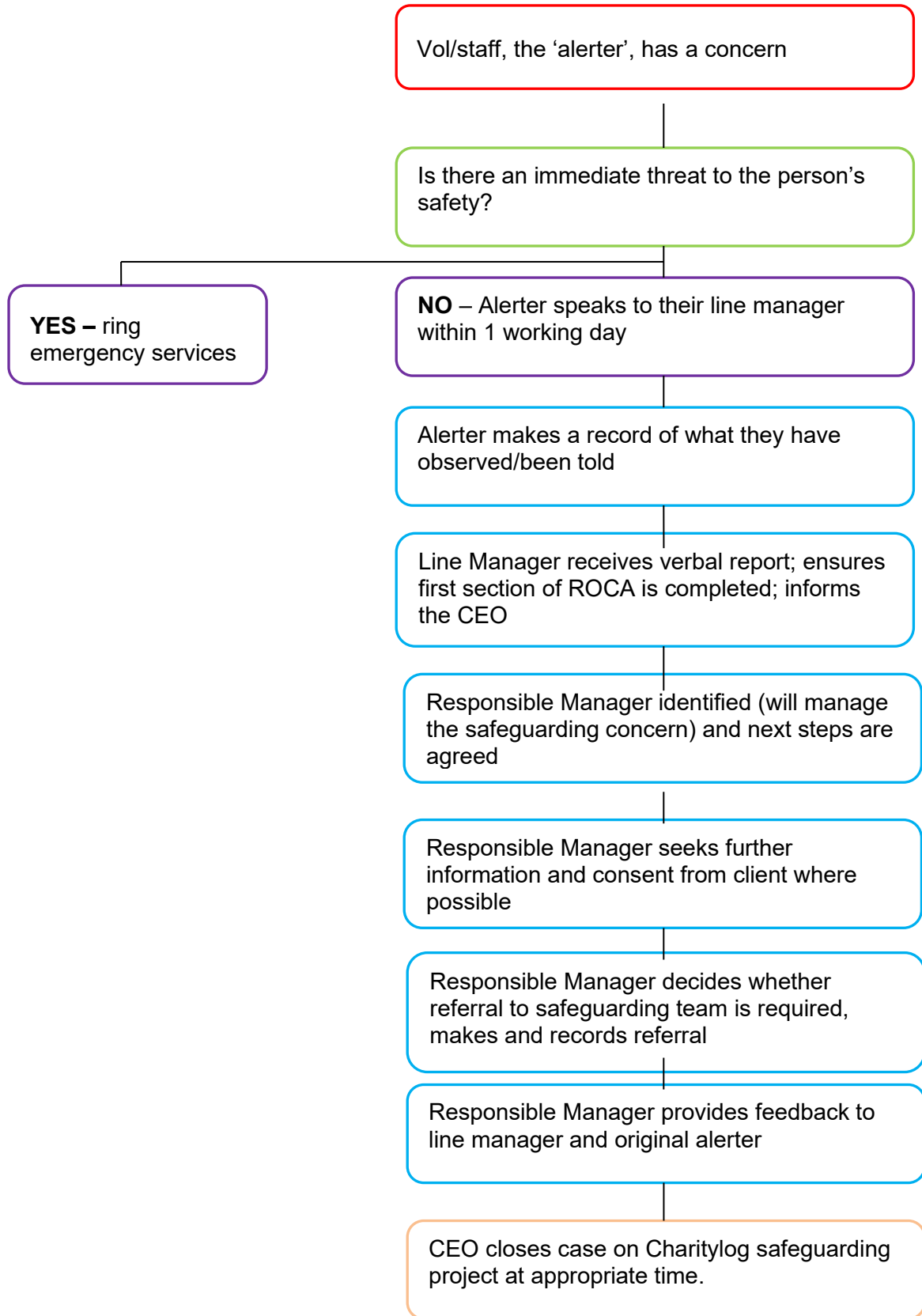
If you do not have some of this information, such as the client's date of birth, do not be put off making the call if you believe it cannot safely wait until the next working day. If you make an emergency call to the police, they are likely to ask for very similar information.

C) What happens next: how safeguarding concerns are dealt with

1. Your line manager will make sure they understand the information you have provided and in consultation with the CEO will decide on a course of action, which they will explain to you.
2. You may be asked to complete the first section of a Record of Concern and Action (ROCA), or your line manager may do this for you based on the information you provide. The responsible manager (the person responsible for managing the concern) will then use the ROCA to continue to record actions and decisions.

A copy of the Record of Concern and Action (ROCA) is at the end of this appendix.

Reporting and Responsibility Flow Chart



RECORD OF CONCERN AND ACTION:

Date concern noted:	Who by (name and role of alerter*):	
Date concern reported:	Who to (manager who received report):	
Client name:	Date of Birth:	CLOG ref:
Address:	Tel No:	Next of Kin:
Name/s of anyone else living at this address:		
Which AUKE service/s are regularly involved?		
<i>*the alerter is an Age UK Exeter staff or volunteer who has observed / been told something of concern</i>		

Description of what has prompted concerns; please include details of any specific incident or disclosure:

Describe any physical or behavioural indicators which you have observed:

Please record any discussion you have had with the client or with a carer/ other when you noted the concerns:

Did you tell the client that you were going to share information with your line manager? Y/N

Expectations/wishes of the adult at risk, if known:

The following sections to be completed by the Co-ordinator or Manager responsible for taking action on the concern:

Safeguarding project in Charitylog updated on (date):

Senior manager informed (if appropriate) Name and date:

Discussion with client required: Y/N

Client consent to share info: Verbal in relation to this incident: Y/N

Written general consent on CLOG Y/N

Client capacity in relation to this concern:

Safeguarding concern reported to Safeguarding team: Date:

Notes:

If no referral, note decision and brief reasons below:

Please continue to log actions etc below with all new information or ongoing contacts with Safeguarding team/Police etc in relation to the concern. Each time this form is updated it should be uploaded to Charitylog.

RECORD OF ACTIONS AND CONTACTS: *(expand table as necessary)*

Date	Action / /Contact with	Notes

Appendix 4

Responding and Acting on Safeguarding Concerns: Guidance for leads and managers

A: Line Manager's discussion with the person who has raised the concern

1. Responding to another member of staff or volunteer's safeguarding concern is a priority; you must ensure you speak to them that day or arrange for another manager to do so if you can't.
2. Listen carefully, reassure them that they are right to share their concern with you.
3. Check that they have made a written record already of what they observed or were told. Check that they have signed and dated the record; make arrangements for that to be brought or sent to you.
4. Check whether they explained to the client about what steps they were going to take next (e.g. did they explain they were going to share their concerns with their manager).
5. Ask whether in their view the client has capacity to consent to a referral if necessary.
6. Depending on who has reported the concern (e.g. if a member of staff or a volunteer) and how complex the situation sounds, decide whether you are going to transfer the information you have been given onto the Record of Concern and Action (ROCA) yourself or whether you are going to ask them to fill out the relevant sections themselves.
7. If you are going to ask the alerter to complete the ROCA, send or give it to them and ensure it is completed and returned within 24 hours. Do not let the wait for the completed ROCA slow you up if your judgement is that an urgent referral to the Adult Safeguarding Service is likely.
8. Remind the alerter of the importance of confidentiality; information shared within the organisation is 'need to know' only: talk through who this will include.
9. Check that they are ok and tell them you will let them know what you are going to do next. If you need time to reflect/consult, say you will get back to them.

B: Consulting with colleagues in AUKE; identifying the 'responsible manager'

10. Inform the Chief Executive Officer of the concern that has been raised and agree who will be responsible for actioning it (the 'responsible manager'). This may be the line manager to whom the concern was reported, or it may be a more senior manager depending on circumstances and complexity.
11. The Chief Executive **must** be informed immediately if the concern relates to actual serious harm to a client and/or if an allegation of abusive behaviour has been made about a member of our staff, a volunteer, another client, or someone from another agency.
12. The responsible manager will check Charitylog record to see if any other pertinent information.
13. The responsible manager should create a new 'record a contact' for safeguarding in Charitylog. The history record should simply say that a safeguarding concern has been raised and quote the reference number of the ROCA. The ROCA should be password protected and uploaded to Charitylog. See Appendix 5 for more information on this.
14. If you think, based on your knowledge of the client and their situation that this is *not* a safeguarding issue, but is perhaps an indication of deteriorating health or increased need for care: make a note on Charitylog in the normal way and liaise appropriately with client, family, GP etc (assuming consent is in place). You should still make a note on the Safeguarding 'Record a Contact' as it came in as a safeguarding concern, but also note it as case closed.

C: Next Steps

15. In most cases we would want to talk to the client, preferably in person, to let them know that a concern has been raised and to explore the situation and their preferences about how this is dealt with.
16. If a client with capacity refuses consent for AUKE to make a safeguarding referral, that is their right and we would not normally override that. There are important exceptions – see the policy. Where you remain concerned for their wellbeing, but consent is refused you should discuss how to proceed with the Chief Executive Officer.
17. Where consent is withheld, the client may still agree to more support and/or to more contact. Check that they know how to contact us, or the Adult Safeguarding Service, if they wish to.

18. If for some reason it is not practical or safe to seek the client's consent; but the responsible manager thinks the concern should be referred: check the client's Charitylog record for general consent to share information and then call the Devon Safeguarding Adults Service on 0345 155 1007.
 19. You may wish to seek further information or clarification from family members or carers, but this will not always be appropriate or desirable.
 20. Sometimes the correct course of action is to do nothing but to note the concern and monitor the situation. You should note this decision on the ROCA; and check it with a manager if you are at all uncertain.
 21. Go back to the person who raised the concern and tell them what action has been taken. There is no need to share great detail.
 22. Remember to keep a record of contact and decisions made on the ROCA.
See Appendix 5 for guidance on record keeping.
- Remember: it is better to seek advice or a discussion, including from the safeguarding team, than to fret or stay concerned without taking appropriate action.

Appendix 5

Ongoing recording and management of safeguarding concerns:

Guidance for leads and managers

1. Leads or managers who have been designated the 'responsible manager' and are dealing with the ongoing situation must continue to record events/meetings/ further information on the ROCA. A ROCA should **always** be completed and kept up to date.
2. The ROCA should be given a reference name and number (your initials/clients initials/date in reverse order, e.g. SS/TS/19.10.27) and should be password protected.
3. Go to Charitylog and complete a new 'Record a Contact' for Safeguarding.
 - a. You will notice that there is an unusual field called Project sub-category. This is a drop-down list which shows the list of different types of abuse. You **must** complete this field
 - b. In the history section you should only enter details of the action taken, not details of the incident itself as these need to remain confidential. You should also include the ROCA reference number (as in 2 above).

- c. Put in an action for the CEO so that she is aware of the raised concern.
 - d. Password protect the ROCA and upload to the client record.
Instructions for password protecting a document are at the end of this appendix. When saving the ROCA you should call it ROCA/reference e.g. ROCA/SS/TS/19.10.27
 - e. In the Risks and Lone Workers tab at the top of a clients record please enter SAFEGUARDING. This will cause a warning triangle to flag up on the search results page so that if the client is new to you, you are aware that there is an issue that may concern you.
- 4 Keeping the ROCA up to date is really important as it keeps the key information organised and allows us to see that we have acted appropriately. Although most safeguarding concerns are dealt with quickly and straightforwardly, situations can sometimes become complex with emails and calls between agencies including the local authority and the police; as well as internally. In these circumstances it is surprisingly easy to lose track if you don't keep a careful record. Please record all relevant contacts on the ROCA. To update the ROCA:
- a. Go to uploaded documents
 - b. Click on download against the relevant document
 - c. This will then open up on your desktop
 - d. Update the document then do a 'save as' and save to your desktop without changing the name of the document
 - e. To then upload this to clog go to:
 - f. Uploaded docs
 - g. Click on edit against the now out of date document
 - h. Click on browse and select the updated document and click save details.
 - i. Doing this should overwrite the existing document with the new one and means that you won't have several versions of the same form uploaded. (It will only work like this if you don't change the name of the document – if you do end up with two copies in uploaded docs please ask for the old one to be deleted.)
 - j. Finally, delete the saved copy on your desktop.
 - k. Update the history in the safeguarding project (only enter a new safeguarding 'record a contact' if it is a new issue).
- 5 The CEO will regularly review the case and will close it when appropriate (this should be closed in the summary page but not the project page which is contrary to all other referrals).

To password protect a Word or Excel document

To secure a Word or Excel document which can only be opened by entering a password - when in the document:

- Go to File Tab (top left)
- Click on Protect Document
- Select Encrypt with Password

- A dialogue box will pop up asking you to enter the password you wish to apply
 - A second dialogue box will come up asking you to confirm the password you have entered to ensure no mistypes
 - Then save the document in the normal way
 - To open the document, you or the recipient, will be asked to enter the password.
- 6 If the incident is linked to the Enabling and Home Support Service, a date, initials and reference to the ROCA should also be noted on the Practice Issues Log by the Enabling Service Manager. This means we can more easily identify if there is a pattern emerging relating either to a particular client or a member of staff.
- 7 You are strongly encouraged to seek a discussion if it would be helpful in deciding the way forward and/or to de-brief. The golden rule is 'never be alone with a safeguarding issue' and it is almost always helpful to get a second perspective. It is important of course to be mindful of confidentiality, and not to share unnecessary details.
- 8 Please note you must inform the Chief Executive Officer immediately of any safeguarding concerns.

Appendix 6

Managing Allegations

Allegations may be made that indicate a person may have:

- Behaved in a way that has harmed or may have harmed an adult who may be at risk, or a child or
- Possibly committed a criminal offence against an adult who may be at risk, or against a child or
- Behaved in a way that indicates s/he is unsuitable to work with adults who may be at risk or with children.

Any allegation of criminal or abusive behaviour that is made to us by a client, volunteer, member of staff or member of the public against anyone else **MUST** be reported immediately to the Chief Executive Officer; or in his/her absence, a member of the Senior Management Team (SMT). The SMT will immediately inform the Chair or in his absence, the Chair of the Risk and Quality committee.

Procedure for Managing Allegations

1. The Senior Manager will first take all reasonable steps to safeguard the adult who may be at risk. Depending on circumstances, this may include immediate suspension without prejudice of the member of staff against whom an allegation has been made. If the allegation relates to a volunteer, the Senior Manager may ask the volunteer to desist from their volunteering activities.

In either case, the Senior Manager will explain that the suspension from normal duties/volunteering does not infer guilt; but is a requirement of our policy to give space to properly investigate the allegation. Support must be offered (from another senior member of staff) to the staff member or volunteer and it must be made clear how they will be kept informed of what is happening. They should also be assured that there will be a proper opportunity for them to respond to the allegation made.

Any such suspension may be made in person or on the phone initially but will be subsequently put in writing. The situation must be handled sensitively and confidentially, in recognition that the allegation may be without substance.

2. The Senior Manager will start a **Record of Concern and Action (ROCA)** as a means of keeping all the information together and recording actions taken. The ROCA is to be password protected.
3. Where the allegation made relates to a worker or volunteer of another agency, the Senior Manager will determine whether the concern is passed over directly to that agency or reported to the Adult Safeguarding Team, or in the case of a child to the Multi-Agency Safeguarding Hub.

The decision will be confirmed with the Chair of Trustees and recorded fully on the ROCA.

If the allegation relates to criminal or abusive behaviour towards a child or young person under the age of 18, the Chief Executive/Senior Manager will also pass the concern to the Local Authority Designated Officer (LADO).

The Senior Manager will also consider whether or not they should inform the police (this may depend on the capacity of the alleged victim to consent to this, and/or to the gravity of the alleged crime).

All decisions to refer, or not, with reasons, must be recorded on the ROCA.

4. The Senior Manager will identify what information needs to be collected, and to whom they need to speak to get a clearer picture of the allegation and what actually occurred. The Senior Manager may decide that the investigation needs to be completed by another senior member of staff, or trustee; particularly if there is a chance that disciplinary action may subsequently be taken. Clear terms of reference for the investigation will be agreed, with a timescale. It will be made clear to the member of

staff/volunteer that any interviews undertaken during the investigation are *not* part of a disciplinary process but are for the purpose of clarification.

5. The Senior Manager will decide based on the investigation as to whether disciplinary action is indicated. If it is, the Disciplinary Policy and Procedure will be followed. If appropriate at the conclusion of the disciplinary process, a referral may be made to the Disclosure and Barring Service.
6. Depending on the circumstances, the Senior Manager may need to report the fact that there has been an allegation, and the outcome, to Age UK and report it as a Serious Incident to the Charity Commission.
7. The Senior Manager will consider if any learning emerges from the incident, and through discussion with the trustees make appropriate changes or amendments to policy and practice.