

Adult Safeguarding

A Practitioners' Guide to the Process

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1. Purpose

This document aims to provide an overview of the adult safeguarding process and the roles and responsibilities of individuals within teams for the safeguards process. This guidance provides a systematic guide to the adult safeguarding process, roles and responsibilities in identifying, reporting and recording incidents of abuse, and all links to relevant documentation and guidance for the process to be carried out efficiently.

This guide must be used in conjunction with the SETSAF and SWIFT guidance.

2. Context

It is the responsibility of everyone to recognise suspected or actual abuse and to take appropriate action in line with the procedures in this guidance.

IGNORING ABUSE IS NOT AN OPTION

- All individuals regardless of age, ability, race, gender, sexual orientation, faith or beliefs should have the greatest possible control over their lives.
- People should be able to live as independently as possible and to make informed decisions about their own lifestyles including the opportunity to take risks if they choose to do so, without fear of harm or abuse from others.

Your understanding of adult safeguarding and your actions can make a positive difference to vulnerable people. The key message is that we have a responsibility to safeguard vulnerable adults from abuse.

Many people find it hard to understand why another person (or persons) would want to abuse and cause harm to a vulnerable person. However, someone who is vulnerable can often be the perfect target.

Why? Because often:

- They can't defend themselves
- They may not be able to get away
- Even if they can tell, often they are not believed
- Sometimes our staff and organisation do not believe that it can happen
- It may be forgotten that vulnerable people have a human right to be safe (as we do).

Abuse of vulnerable people does not have to be deliberate, malicious or planned. It sometimes happens when people are trying to do their best but do not know the right thing to do. Sometimes the person who causes harm does so because of frustration even in a caring context. However, irrespective of why the abuse might happen, the abusive action of another on a vulnerable person causes harm.

What is expected of me?

- Ignoring abuse is not an option - if at anytime you think that a vulnerable person is being abused or is at risk of abuse you must report your concerns so that they can be looked into.
- If you come across a situation where you think a vulnerable person is at risk of abuse you must not ignore the information. Do not assume that others know what you know. You must tell so that others can help.
- Remember that vulnerable adults have human rights. You have a duty of care to ensure the rights and needs of the vulnerable person is your main consideration.

- If at any time you feel the person needs urgent medical assistance call for an ambulance or arrange for a doctor to see the person at the earliest opportunity.
- If at the time you have reason to believe the vulnerable person is in immediate and serious risk of harm or that a crime has been committed call the police.
- If you see something that concerns you or you are given information that causes you to be concerned about a vulnerable person then:
 - Keep calm; this will help the vulnerable person
 - Make sure that the person is safe
 - Listen carefully to what is said
 - Observe what you see around you, if possible
 - Reassure and take care of the person
 - Get help as soon as possible.
- Remember you will need to record everything that you saw, heard and did. Record the facts of what happened.
- Remember it is expected that you pass on any concerns immediately to your manager.

Who are Vulnerable Adults?

A vulnerable adult is any person aged 18 or over who:

- Is or maybe in need of community care services by reason of mental, physical or learning disability, age or illness; and
- Who is or maybe unable to take care of him or herself or unable to protect him or herself against significant harm or serious exploitation.

They may include:

- People with a mental health problem or mental illness (including dementia)
- People with a physical disability
- People with a sensory impairment
- People with a learning disability
- People who are frail and/or experiencing a temporary illness.

Abuse can take place in any setting – the process set out in this guidance is applicable to all settings including:

- An individual's private home
- Care home
- Hospital
- Day service
- In a public setting
- Public transport
- Police station
- College.... this list is endless.

What is Abuse?

“Abuse is a violation of an individual’s human and civil rights by any other person or persons”

“Abuse may consist of a single act or repeated acts. It may be physical, verbal or psychological, it may be an act of neglect or an omission to act or it may occur when a vulnerable person is persuaded to enter into a financial or sexual transaction to which he or she has not consented, or cannot consent. Abuse can occur in any relationship and may result in significant harm to, or exploitation of, the person subjected to it.” (No Secrets, Department of Health 2000)

The Southend, Essex and Thurrock adult safeguarding guidelines also defines seven different categories of abuse as follows:

- Physical abuse: may include hitting, slapping, pushing, kicking, misuse of medication, misuse of restraint, or inappropriate sanctions.
- Sexual abuse: may include rape and sexual assault, or sexual acts to which the vulnerable adult has not consented, or could not consent, or where pressure was applied to secure their consent.
- Emotional abuse: may include verbal abuse, psychological abuse, threats, deprivation of contact, humiliation, blaming, controlling, intimidation, coercion, harassment, isolation or withdrawal from services or supportive networks.
- Financial or Material abuse: may include theft, fraud, exploitation, pressure in connection with wills, property or inheritance or financial transactions, or the misuse or misappropriation of property, possessions or benefits.
- Neglect (including acts of omission): may include ignoring medical or physical care needs, failure to provide access to appropriate health, social care or educational services, the withholding of the necessities of life, such as medication, food and drink and heating.
- Discriminatory abuse: may include racist or sexist remarks or comments based on a person's impairment, disability, age or illness, and other forms of harassment, slurs or similar treatment.
- Institutional abuse involves the collective failure of an organisation to provide an appropriate and professional service to vulnerable people. It can be seen or detected in processes, attitudes and behaviours that amount to discrimination through unwitting prejudice, ignorance, thoughtlessness and stereotyping. It includes a failure to ensure the necessary safeguards are in place to protect vulnerable adults and maintain good standards of care in accordance with individual needs, including training of staff, supervision and management, record keeping and liaising with other providers of care.

Ignoring abuse is not an option - Any person or organisation with knowledge of or suspicion that a vulnerable adult may be at risk of abuse or is being abused must report their concerns.

3. Safeguard recording

Record keeping is an essential and integral part of Adult Social Care. Records, electronic or otherwise, should give a comprehensive, accurate and justifiable account of the intervention and provision made or planned for an individual with information being recorded impartially and accurately, recording only relevant matters and specifying the source of information.

Whenever a complaint or allegation of abuse is made, all agencies should keep clear and accurate records and each agency should identify procedures for incorporating, on receipt of a complaint or allegation, all relevant agency and service user records into a file to record all action taken. In the case of providers of services these should be available to service commissioners and local inspection units.

No information should be recorded on SWIFT regarding the alleged perpetrator.

The SWIFT recording for safeguard alerts is detailed in Informatics documents, referenced in the appendices of this guide. However, this does not indicate the requirements for recording of case discussions and decisions regarding the progression of an alert.

When a decision is made to progress an alert at each stage there should be a supervision and safeguard case note detailing an overview of the situation and the options discussed with the agreed outcomes and actions recorded. This would happen at each stage of the alert for example from SET SAF 1 to closure with SET SAF 4 or to progress from SET SAF 1 to 2.

Any ongoing safeguard alert should be discussed in supervision and recorded. If an informal discussion takes place outside of supervision, this should also be documented on SWIFT. The progression of the case should be evident from the notes on SWIFT without having to refer to the SET SAF paper work.

4. Key Definitions

AHCW – Adult Health and Community Wellbeing

ASU – Adult Safeguards Unit

ECC – Essex County Council

Funding Authority – This is the local authority that funds a placement for a service user in an establishment. ECC has service users placed within Essex funded by other local authorities. Equally, ECC fund placements outside of the county boundaries.

Immediate Risk – This is where a Vulnerable Adult is at risk of harm, physically and mentally, or death. Support appropriate to the situation should be arranged immediately. This should include the Police, Ambulance Service or Mental Health.

Individual SOVA – This is an alert involving one service user.

Institutional SOVA – This is where two or more service users, who are based in the same establishment or are provided for by the same domiciliary care provider, are in potential risk of abuse.

Involved team - The Key Team may not be the team that is carrying out the Vulnerable Adult process. For example, a service user is in a care home in the South of the county but the Key Team is in the North East. The South Team would carry out the Vulnerable Adult alert but it is important to ensure that a copy of any of the SETSAF forms that are completed by the South Team are copied and sent to the North East Team for information only.

ISA – Independent Safeguarding Authority

Host Authority – This is the local authority where the service user resides. This could be an ECC placement or the service users own choice. Equally, ECC is the host authority if residents from outside the county reside in an establishment within Essex.

If an out of county alert is received for a Vulnerable Adult placed in Essex from outside the county, then AHCW are responsible for investigating the alert. Therefore, the appropriate Adult Safeguards process within this guidance should be followed and information and invitations to adult protection meetings being sent to the nominated contact in the funding authority.

If a Vulnerable Adult from Essex placed out of county is subject to a safeguarding alert, the host authority are responsible for investigating the alert and for forwarding information to the appropriate ECC team to enable the service user's file and SWIFT record to be up dated.

Key Team – There will be a Key Team if the Vulnerable Adult is:

1. Having an assessment or review completed;

2. Receiving services; or
3. From another local authority area residing in Essex.

The Key Team may also be within a different Council and the same process would apply if an alert were raised for one of their service users in a residential home in Essex.

If an alert is received for a Vulnerable Adult who does not currently have a Key Team on SWIFT then the team dealing with the alert, need to become the Key Team.

A vulnerable adult may be known on SWIFT with no Key Team because they may no longer be receiving services (closed case) or may never have received services. For example, they may be a carer or relative of a current service user.

A New Service User – Is one of the following:

- The Vulnerable Adult is new to AHCW and has never received services.
- The Vulnerable Adult is known to AHCW but has never received services, as they are a relative or a carer.
- The Vulnerable Adult has been a service user in the past but has not received services or been open to a team within thirty days of receiving the safeguarding alert.

Receiving team – Is the team that originally receive the alert.

SCD – Social Care Direct

Service User File – This is the Service Users / Vulnerable Adults electronic file on SWIFT and their paper file held by the review team, Key Team, allocated team or centrally.

Southend Essex Thurrock Safeguarding Adult Form (SETSAF) – This is a set of Guidelines and a recording process agreed within Essex Safeguarding Adults Board (ESAB) that is used pan Southend, Essex and Thurrock. This guidance integrates the SETSAF process and SWIFT.

Copies of all SETSAF forms during and on completion of the SETSAF process must be printed, signed by the Team Manager and placed on the service user file.

SWIFT – The system used by Adults, Health and Community Wellbeing (AHCW) to record information about adults accessing services in Essex and for management information used to inform senior managers and inspectorates on our performance.

SAFE – Safeguarding Adults From Exploitation

SOVA - Safeguard of Vulnerable Adult

5. Roles and Responsibilities within Safeguarding Process

5.1 Adult Safeguards Unit

- Referring back to teams any alerts with incorrect information on SETSAF 1 and 4
- Guidance on the overall Adult Safeguarding process
- Offering 'expert' professional advice in matters of Adult Safeguarding.
- Collaborative Casework - working alongside operational staff in agreeing Vulnerable Adult investigations for the lifetime of the Adult Safeguarding component.
- Lead Co-ordination in Complex Investigations
- Chairing Strategy Meetings where there are complex cases
- Research – maintaining a position at the leading edge of the Adult Safeguards Agenda
- Training and Development – Delivering in partnership with ESAB and workforce commissioning, training packages aimed at staff, care providers, voluntary agencies, service users, carers, families and service user representatives
- Contributing to Policy Development
- Ensuring that all out of county alerts are communicated to the Key Team

5.2 Informatics Team

- Training: All SWIFT users
- Producing SWIFT guidance
- Providing management and error information
- Managing SWIFT code lists
- Managing updates to the SWIFT process, recording and communication to all SWIFT users

5.3 Operational Service Manager

- Ensures that the Adult Safeguarding Quality Assurance Framework is implemented

5.4 Practitioner

- Organising the appropriate chair for SETSAF 3 meetings and ensuring that appropriate minutes of the meeting are recorded and distributed
- Completing the SETSAF checklist at all stages

5.5 Team

- To have a safeguarding lead business administrator
- Recording all required information on SWIFT
- Providing ASU with copies of SETSAF 1
- Recording of case notes and supervision notes onto SWIFT
- Completing SETSAF 1 – 4, ensuring that the Vulnerable Adult is not at immediate risk of further abuse

5.6 Team Manager

- Linking practice into supervision and case file management
- Tracking the SWIFT process on case management
- Ensuring error reports are corrected within directed timescales
- Ensuring that all members of staff undertake the appropriate safeguarding training
- Ensuring that all SETSAF forms are signed and filed on the Vulnerable Adult's file

5.7 SAFE Team

- Completing SETSAF 1 on initial alert
- Sending the alert to SCD or the review team if known
- Agreeing the appropriate resources from within the SAFE team with the review team

5.8 Senior Operational Service Manager

- Ensures that the Adult Safeguarding Quality Assurance Framework is implemented

5.9 Senior Practitioner

- Ensuring that case file management is complete

- Monitor the ongoing practice of the individual practitioners
- Offering support and guidance on individual and complex cases

5.10 Social Care Direct

- Completing SETSAF 1 on initial alert
- Sending the alert to the appropriate team
- Completing SETSAF 4 only if the alert is not a safeguarding issue
- Forward copies of SETSAF 1 and 4 to the ASU

Important Note

The receiving team may have overall safeguards responsibility if a care home is in their locality, but the Key Team may still need to be involved in reviewing individual Vulnerable Adult's needs and case management in relation to safeguarding alerts. SETSAF forms will need to be filed on to case files by the Key Team.

6. Social Care Direct

SCD receive the Vulnerable Adult alert when the Key Team is not known, either because there is not a Key Team or the person raising the alert is not aware the Vulnerable Adult has a Key Team.

6.1 *The safeguarding process to be followed if there is an allocated team*

Alert received via e-mail, fax, from a professional or ASK SAL

SCD Advisor

- Complete a SETSAF 1 if not already received
- Attached the SETSAF checklist to the SETSAF 1. The checklist for completing the Adult Safeguard Alert Process can be used to ensure all papers and recording have been appropriately completed. This should be added at every stage where an alert is completed
- Check for the Vulnerable Adult on SWIFT to confirm if their details exist and are correct to the information received
- If the Vulnerable Adult is not on SWIFT, follow the process in [6.2](#)
- If the Vulnerable Adult is on SWIFT, check the file to see if there is currently an adult safeguarding alert open or if the Vulnerable Adult has had involvements within one month
- If a child or children are involved, forward using an agreed secure method, a copy of the SETSAF 1 to the SCD Senior Practitioner
- If the Vulnerable Adult has a Learning Disability, forward using an agreed secure method, the SETSAF 1 to the Long Term Management Team for Learning Disabilities in the location where the Vulnerable Adult is based
- If an alert has already been raised on SWIFT for the vulnerable adult subject to the alert, forward using an agreed secure method, the new alert to the allocated team who are dealing with the existing alert via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult is deemed to be in immediate risk, when the alert is sent to the allocated team contact that team via telephone to highlight the risk so that the appropriate agency can be contacted to assist in the alert as soon as possible
- If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police
- Update SWIFT following the SWIFT recording guidance and the children's section if appropriate

- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail (adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- File any SETSAF forms in the SETSAF folder and e-mails in the SETSAF subfolder on SCD LSC box
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- If a child or children are involved, discuss and forward the alert to the Team Manager for SCD (Children)

6.2 *The safeguarding process to be followed if there is not an allocated team*

Alert received via e-mail or fax

SCD Advisor

- Create a new record for the Vulnerable Adult on SWIFT
- Forward using an agreed secure method, the completed SETSAF 1 to the Senior Practitioner within SCD for validation and guidance
- If the Senior Practitioner decides that there is not a safeguarding issue, follow the process in [6.4](#)
- If the Vulnerable Adult has a Learning Disability, forward using an agreed secure method, the SETSAF 1 to the Long Term Management Team for Learning Disabilities in the location where the Vulnerable Adult is based
- If the Key Team allocated the Vulnerable Adult subject to the alert is in the same locality as the Vulnerable Adult, forward using an agreed secure method, the alert to that team via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Key Team is not in the same locality as the Vulnerable Adult subject to the alert, forward using an agreed secure method, the alert to the Key Team, where the Vulnerable Adult is based via e-mail or fax, following up with a telephone call to inform the allocated team of the alert. It is important to forward copies of all the SETSAF form to the Key Team allocated to the Vulnerable Adult if outside the locality
- If the Vulnerable Adult is not in hospital and a new service user, forward using an agreed secure method, the alert to the Local Community Assessment Team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult is in hospital and they are a new service user, forward using an agreed secure method, the alert to the Local Hospital Assessment

Team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert

- If the Vulnerable Adult is deemed to be in immediate risk, when the alert is sent to the allocated team, contact that team via telephone to highlight the risk so that the appropriate agency can be contacted to assist in the alert as soon as possible
- If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police
- Update SWIFT following the SWIFT recording guidance and the children's section if appropriate
- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail (adult.safeguardsunit@essex.gov.uk) or fax to 01245 550355
- File any SETSAF forms in the SETSAF folder and e-mails in the SETSAF subfolder on SCD LSC box
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- Make a professional judgement based upon the information received, whether the alert is a safeguarding issue and if the Vulnerable Adult is at any immediate risk
- If it is unclear where the alert needs to be sent, contact a Senior Consultant Practitioner within the Adults Safeguards Unit and agree an appropriate team to progress the alert in the first instance

6.3 *The safeguarding process to be followed if a safeguard issue identified during telephone assessment by SCD Advisor*

SCD Advisor

- Discuss the potential safeguarding issue with the Senior Practitioner within SCD
- If the Senior Practitioner decides that there is a safeguarding issue, follow the process in [6.1](#)
- If the Senior Practitioner decides that there is not a safeguarding issue, continue with the telephone assessment

Senior Practitioner

- Make a professional judgement based upon the information received, whether the alert is a safeguarding issue and if the Vulnerable Adult is at any immediate risk

- If a child or children are involved, discuss and forward the alert to the Team Manager for SCD (Children)

6.4 *The safeguarding process to be followed if the alert is not a safeguarding issue*

Alert received via e-mail or fax

SCD Advisor

- Complete a SETSAF 4 explaining the reasoning behind the closure
- Gain management approval for the SETSAF 4 and include the Vulnerable Adult's feedback in the appropriate section on the form
- If a child or children are involved, update the SETSAF 1
- Once the SETSAF 4 has been completed, enter the details into SWIFT Adult Protection Module following the SWIFT recording guidance
- Forward alert using an agreed secure method, to duty for prioritisation and allocation
- Forward the SETSAF 1 and 4 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- File any SETSAF forms in the SETSAF folder and e-mails in the SETSAF subfolder on SCD LSC box
- Update the referrer, if known, of the outcome of the alert

The process in a flowchart format detailed in this section can be found in Appendices [Social Care Direct Process Flowchart](#). The flowchart must be used in conjunction with the written process.

7. Community Assessment Team

The Community Assessment Team can receive a Vulnerable Adult alert in three ways:

1. Via SCD
2. Direct to the Team from another source
3. Out of county

7.1 ***The safeguarding process to be followed once the alert is received by the Community Assessment Team***

Business Administrator

- Complete a SETSAF 1 if not received, with the information known
- If SETSAF 1 received, review the quality of data, requesting additional information from the referrer if required
- Check for the Vulnerable Adult on SWIFT to confirm if their details exist and are correct to the information received
- If the Vulnerable Adult does not exist on SWIFT, create a new record for the Vulnerable Adult on SWIFT following the SWIFT recording guidance
- Enter SETSAF 1 details onto the SWIFT following the SWIFT recording guidance
- Ensure all recording of the Key Team and Worker involvements on SWIFT are accurate, following the SWIFT recording guidance
- Attached the SETSAF checklist to the SETSAF 1. The checklist for completing the Adult Safeguard Alert Process can be used to ensure all papers and recording have been appropriately completed. This should be added at every stage where an alert is completed
- Forward using an agreed secure method, the SETSAF 1 to the Team Manager within The Community Assessment Team
- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355

Team Manager

- Make a professional judgement based upon the information received, if the alert is a safeguarding issue and if the Vulnerable Adult is at any immediate risk
- Discuss with or forward to the Team's Senior Practitioner if further clarification is

required

- Refer the alert to the Senior Practitioner if deemed a safeguarding issue
- If there are children involved, forward the alert to the Children's Safeguarding Unit children.safeguarding@essex.gov.uk
- If the Vulnerable Adult is in immediate risk, make contact with the appropriate agency to arrange the support that will reduce the risk
- If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police

Alert is not a safeguarding issue at SETSAF 1 or 2

Business Administrator

- If the Team Manager/Senior Practitioner decides at the SETSAF 1 stage that it is not a safeguarding issue, complete with the Team Manager or Senior Practitioner a SETSAF 4 documenting the decision
- Gain management approval for the SETSAF 4 and include the Vulnerable Adult's feedback in the appropriate section on the form
- Record the detail on the Adult Protection Module on SWIFT the same day as the SETSAF 4 is completed
- If a child or children are involved, update the SETSAF 1
- Record the decision in the supervision notes on SWIFT Case Notes
- Update the Vulnerable Adult's file if the Community Assessment Team is the Key Team with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in the Community Assessment Team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the paperwork on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 and 4 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- Make a professional judgement with the Team Manager if appropriate, based upon the information received, whether the alert is a safeguarding issue
- If the allegation is against a member of staff, either an employee of ECC or an employee of a service commissioned by ECC, inform the ASU

Alert is a safeguarding issue and progressed to SETSAF 2

Business Administrator

- Update SWIFT following the SWIFT recording guidance from the SETSAF 2
- If the alert is not a safeguarding issue at SETSAF 2 stage, update SWIFT following the SWIFT recording guidance, the same day as it is completed
- Record the decision in the supervision notes on SWIFT Case Notes
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in the Community Assessment Team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the copies on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 and 4 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- Allocate the alert to a Practitioner. The Practitioner is required to respond to the alerts within 24hrs
- Using all the information gathered agree with the Practitioner if the alert is a safeguarding issue

Practitioner

- Gather information to complete SETSAF 2
- Following a visit to the Vulnerable Adult, consideration must be given to the following three factors:
 - If there are children involved, forward the alert using an agreed secure method, to the Children's Safeguarding Unit children.safeguarding@essex.gov.uk
 - If the Vulnerable Adult is in immediate risk, make contact with the appropriate agency to arrange the support that will reduce the risk
 - If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police
- Complete SETSAF risk assessment
- Update the SETSAF checklist at each stage, forwarding to the Business

Administrator at the appropriate intervals for recording on SWIFT

- Using all the information gathered agree with the Senior Practitioner if the alert is a safeguarding issue
- In some cases, the seriousness of the alert may need to be escalated to the Operational Service Manager or Senior Operational Manager
- If the alert is not a safeguarding issue, add supervision notes to the SWIFT case notes and complete a SETSAF 4, gaining management approval and service user feedback

Alert is a safeguarding issue and progressed to SETSAF 3

Business Administrator

- Update SWIFT following the SWIFT recording guidance from the SETSAF 3
- Record the detail on the Adult Protection Module on SWIFT the same day as the SETSAF 4 is completed
- Record the decision in the supervision notes on SWIFT Case Notes
- If a child or children were involved, update the SETSAF 1
- Record the decision in the supervision notes on SWIFT Case Notes
- Forward copies of the SETSAF 3 minutes to members of the meeting within 48 hours of the meeting taking place
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in the Community Assessment Team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the copies on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Practitioner

- Arrange an Adult Protection meeting. Ensure that all appropriate professionals including multi-agency representation are invite to the meeting. This should also include the Long Term Management Team as they may be required to take on the case if it needs further investigation to ensure the adult is no longer at risk
- Complete the SETSAF 3 form as the minutes to this meeting

- Update SETSAF risk assessment
- If the outcome of the Adult Protection meeting is that the safeguarding concerns are substantiated, hand over the alert to the Long Term Management Team to manage the process going forward
- If the outcome of the Adult Protection meeting is that the safeguarding concerns are not substantiated, add supervision notes to the SWIFT case notes and complete a SETSAF 4 gaining management approval and service user feedback

7.2 *The safeguarding process to be followed if an out of county alert is received by the Community Assessment Team*

Business Administrator

- Enter SETSAF 1 details onto the SWIFT following the SWIFT recording guidance
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index

The process in a flowchart format detailed in this section can be found Appendices [Community Assessment Team Process Flowchart](#). The flowchart must be used in conjunction with the written process.

8. Long Term Management Team

The Long Term Management Team can receive a vulnerable adult alert in four ways:

1. Via SCD
2. Direct to the Team from another source
3. Handed over from the Community Assessment Team at SETSAF 3, or at SETSAF 1 stage for complex Physical Impairment cases following agreement with the appropriate Community Assessment Team
4. Out of county

8.1 *The safeguarding process to be followed once the alert is received by the Long Term Management Team (initial alert at SETSAF 1)*

Business Administrator

- Complete a SETSAF 1 if not received, with the information known
- If SETSAF 1 received, review the quality of data, requesting additional information from the referrer if required
- Check for the Vulnerable Adult on SWIFT to confirm if their details exist and are correct to the information received
- If the Vulnerable Adult does not exist on SWIFT, create a new record for the Vulnerable Adult on SWIFT
- Enter SETSAF 1 details onto the SWIFT following the SWIFT recording guidance
- Ensure all recording of the Key Team and Worker involvement on SWIFT are accurate, following the SWIFT recording guidance
- Attached the SETSAF checklist to the SETSAF 1. The checklist for completing the Adult Safeguard Alert Process can be used to ensure all papers and recording have been appropriately completed. This should be added at every stage where an alert is completed
- Forward using an agreed secure method, the SETSAF 1 to the Team Manager within The Long Term Management Team
- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355

Team Manager

- Make a professional judgement based upon the information received, whether

the alert is a safeguarding issue and if the Vulnerable Adult is at any immediate risk

- Discuss with or forward to the Team's Senior Practitioner if further clarification is required
- Refer the alert to the Senior Practitioner if deemed a safeguarding issue
- If there is a child or children involved, forward the alert using an agreed secure method, to the Children's Safeguarding Unit children.safeguarding@essex.gov.uk
- If the Vulnerable Adult is in immediate risk, make contact with the appropriate agency to arrange the support that will reduce the risk
- If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police

Alert is not a safeguarding issue at SETSAF 1 or 2

Business Administrator

- If the Team Manager or Senior Practitioner decides at the SETSAF 1 stage that it is not a safeguarding issue, complete with the Team Manager or Senior Practitioner a SETSAF 4 documenting the decision
- Gain management approval for the SETSAF 4 and include the Vulnerable Adult's feedback in the appropriate section on the form
- Record the detail on the Adult Protection Module on SWIFT the same day as the SETSAF 4 is completed
- If a child or children are involved, update the SETSAF 1
- Record the decision in the supervision notes on SWIFT Case Notes
- Update the Vulnerable Adult's file if The Long Term Management Team is the Key Team with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in The Long Term Management Team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the paperwork on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 and 4 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- Make a professional judgement based upon the information received, whether the alert is a safeguarding issue

- If the allegation is against a member of staff, either an employee of ECC or an employee of a service commissioned by ECC, inform the ASU

Alert is a safeguarding issue and progressed to SETSAF 2

Business Administrator

- Update SWIFT following the SWIFT recording guidance from the SETSAF 2
- If the alert is not a safeguarding issue at SETSAF 2 stage, update SWIFT following the SWIFT recording guidance the same day as it is completed
- Record the decision in the supervision notes on SWIFT Case Notes
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in The Long Term Management Team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the copies on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 and 4 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Senior Practitioner

- Allocate the alert to a Practitioner. The Practitioner is required to respond to the alert within 24hrs
- Using all the information gathered agree with the Practitioner whether the alert is a safeguarding issue

Practitioner

- Gather information to complete SETSAF 2
- Following a visit to the Vulnerable Adult, consideration must be given to the following three factors:
 - If there are children involved, forward the alert using an agreed secure method, to the Children's Safeguarding Unit children.safeguarding@essex.gov.uk
 - If the Vulnerable adult is in immediate risk, make contact with the appropriate agency to arrange the support that will reduce the risk
 - If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police

- Complete SETSAF risk assessment
- Update the SETSAF checklist at each stage, forwarding to the Business Administrator at the appropriate intervals for recording
- Using all the information gathered, agree with the Senior Practitioner if the alert is a safeguarding issue
- In some cases, the seriousness of the alert may need to be escalated to the Operational Service Manager or Senior Operational Manager
- If the alert is not a safeguarding issue, add supervision notes to the SWIFT case notes and complete a SETSAF 4, gaining management approval and Vulnerable Adult feedback

Alert is a safeguarding issue and progressed to SETSAF 3

Business Administrator

- Update SWIFT following the SWIFT recording guidance from the SETSAF 3
- Record the decision in the supervision notes on SWIFT Case Notes
- Repeat this process when the SETSAF 3 has been updated
- Update SWIFT from the SETSAF checklist
- Forward copies of the SETSAF 3 minutes to members of the meeting within 48 hours of the meeting taking place
- Record the detail on the Adult Protection Module on SWIFT the same day as the SETSAF 4 is completed
- If a child or children are involved, update the SETSAF 1
- Record the decision in the supervision notes on SWIFT Case Notes
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index
- If the Vulnerable Adult subject to the alert is not based in The Long Term Management Team and this team is not currently the Key Team, forward a copy of the SETSAF forms using an agreed secure method, to the Key Team stating that they are for information only and to place the copies on the Vulnerable Adult's case file for reference
- Forward the SETSAF 1 using an agreed secure method, to the ASU via e-mail adult.safeguardsunit@essex.gov.uk or fax to 01245 550355
- Update the referrer, if known, of the outcome of the alert

Practitioner

At this stage, the Community Assessment Team may also hand over any alerts if the initial outcome of the Adult Protection meeting is that the safeguarding concerns are substantiated.

- Arrange an Adult Protection meeting. Ensure that all appropriate professionals including multi-agency representation are invited to the meeting
- Complete/update the SETSAF 3 form as the minutes to this meeting
- Update SETSAF risk assessment
- This should be a continuous process until the safeguarding concerns are satisfied
- If the outcome of the Adult Protection meeting is that the safeguarding concerns are not substantiated, add supervision notes to the SWIFT case notes and complete a SETSAF 4 gaining management approval and service user feedback

8.2 *The safeguarding process to be followed if an out of county alert is received by the Long Term Management Team*

Business Administrator

- Enter SETSAF 1 details onto the SWIFT following the SWIFT recording guidance
- Update the Vulnerable Adult's file with the appropriate paperwork following the ECC100 case file index

The process in a flowchart format detailed in this section can be found in Appendices [Long Term Management Team Process Flowchart](#). The flowchart must be used in conjunction with the written process.

9. Review Team

The Review Teams are not responsible for carrying out the SETSAF process therefore if any safeguarding alerts are received, forward to the relevant Long Term Management Team.

10. Emergency Duty Team

All Adult Safeguarding alerts raised out of normal hours are directed to the Emergency Duty Team.

10.1 *The safeguarding process to be followed once the alert is received by the Emergency Duty Team*

Alert/SETSAF received via fax

- Complete a SETSAF 1 if not already received
- Check for the Vulnerable Adult on SWIFT to confirm if their details exist and are correct to the information received
- If the Vulnerable Adult is not on SWIFT, create a new record
- If the Vulnerable Adult is in immediate risk, make contact with the appropriate agency to arrange the support that will reduce the risk
- If the Vulnerable Adult is on SWIFT, check the file to see if there is currently an adult safeguarding alert open or if the Vulnerable Adult has had involvements within one month
- If an alert has already been raised on SWIFT for the Vulnerable Adult subject to the SETSAF, forward the SETSAF using an agreed secure method, to the allocated team who are dealing with the existing alert via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult has a Learning Disability, forward using an agreed secure method, to the Long Term Management Team that focus on Learning Disabilities in the location where the Vulnerable Adult is based
- If the Key Team allocated the Vulnerable Adult subject to the alert is in the same locality as the Vulnerable Adult, forward using an agreed secure method, the SETSAF to that team via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Key Team is not in the same locality as the Vulnerable Adult subject to the alert, forward using an agreed secure method, the SETSAF to the Key Team, where the Vulnerable Adult is based via e-mail or fax, following up with a telephone call to inform the allocated team of the alert. It is important to forward copies of all the SETSAF forms to the Key Team allocated to the Vulnerable Adult if outside the locality
- If the Vulnerable Adult is not in hospital and a new service user, forward using an agreed secure method, the SETSAF to the Local Community Assessment Team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert

- If the Vulnerable Adult is in hospital and they are a new service user, forward using an agreed secure method, the SETSAF to the Local Hospital Assessment Team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult subject to the alert is not based in the allocated team and this team is not currently the Key Team, forward a copy of the SETSAF forms to the Key Team stating that they are for information only and to place the paperwork on the Vulnerable Adult's case file for reference
- If a potential crime has been committed such as a physical or sexual assault or theft, contact the Police
- Enter the SETSAF 1 details into Contact and Involvement tab on SWIFT. Complete this on the same day as the SETSAF 1 is received and completed
- Send the SETSAF 1 using an agreed secure method, to the ASU via e-mail (adult.safeguardsunit@essex.gov.uk) or fax to 01245 550355
- SETSAF should be telephone notified or faxed to SCD

The process in a flowchart format detailed in this section can be found in Appendices [Emergency Duty Team Process Flowchart](#). The flowchart must be used in conjunction with the written process.

11. Adults Safeguards Unit

11.1 *The safeguarding process to be followed once the SETSAF forms are received by the Unit*

Business Administrator

- Check if a registered provider is involved in the alert
- If a registered provider is involved in the alert at SETSAF 2 level, forward a copy of the alert using an agreed secure method, to Care Quality Commission
- Forward using an agreed secure method, the SETSAF forms to the Senior Consultant Practitioner within ASU
- If it is an institutional alert, forward copies of the SETSAF form to Contract Management
- Save the SETSAF form appropriately, using the relevant filing system
- Complete the ASU Vulnerable Adult Checklist and the SETSAF form, ensuring that mandatory information has been completed
- If information is missing or incomplete on the SETSAF form, request the missing information from the Review Team
- File the completed checklist
- File the SETSAF 4 in the relevant folder

Senior Consultant Practitioner

- Make a professional judgement based upon the information received, whether the alert is an institutional alert and if the Vulnerable Adult is at any immediate risk
- If the Vulnerable Adult is in immediate risk, make contact with the allocated team to ensure that the appropriate agency have been contacted to arrange the support that will reduce the risk
- If the alert is deemed an institutional alert, implement the embargo process
- If the alert involves an allegation against a member of staff, any of the following should be considered:
 - Where there is an accusation of abuse against an ECC employee, Human Resources must be notified and the Council's Disciplinary and Capability Policy followed
 - Where the accusation of abuse is against an employee of a provider, the

provider must investigate using their own disciplinary and capability policies

- Where any concerns regarding an employees suitability to work with children or vulnerable adults is identified, the employer must refer the case to the ISP

11.2 *The safeguarding process to follow if an out of county referral is received by the Unit*

Business Administrator

- Check for the Vulnerable Adult on SWIFT to confirm if their details exist and are correct to the information received
- If the Vulnerable Adult is on SWIFT, check the file to see if there is currently an adult safeguarding alert open or if the Vulnerable Adult has had involvements within one month
- If an alert has already been raised on SWIFT for the Vulnerable Adult subject to the alert, forward using an agreed secure method, the new alert to the allocated team who are dealing with the existing alert via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult has a Learning Disability, forward using an agreed secure method, to the Long Term Management Team that focus on Learning Disabilities in the location where the Vulnerable Adult is based
- If the Key Team allocated the Vulnerable Adult subject to the alert is in the same locality as the Vulnerable Adult, forward using an agreed secure method, the alert to that team via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Key Team is not in the same locality as the Vulnerable Adult subject to the alert, forward using an agreed secure method, the alert to the Key Team, where the Vulnerable Adult is based via e-mail or fax, following up with a telephone call to inform the allocated team of the alert. It is important to forward copies of all the SETSAF form to the Key Team allocated to the Vulnerable Adult if outside the locality
- If the Vulnerable Adult is not in hospital and a new service user, forward using an agreed secure method, the alert to the Local Community Assessment team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert
- If the Vulnerable Adult is in hospital and they are a new service user, forward using an agreed secure method, the alert to the Local Hospital Assessment Team to progress via e-mail or fax, following up with a telephone call to inform the allocated team of the alert

For further information, please refer to the Safeguards Tracking Administration Procedure document.

The process in a flowchart format detailed in this section can be found in Appendices [Adult Safeguards Unit Process Flowchart](#). The flowchart must be used in conjunction with the written process.

12. Useful links and Contacts

Informatics SWIFT User Guides

<http://intranet.essexcc.gov.uk/vip8/intranet/INet/display/content/index.jsp?sectionOid=308&channelOid=326&guideOid=86354&oid=80479>

ESAB Website

Essex Safeguarding Adults Board – SETSAF guidelines – Up to date SETSAF Forms and Guidance completion

<http://www.essexsab.org/>

Adult Safeguarding Leads

North East Essex	-	Ruth Manning
Mid Essex	-	Linda Flynn
West Essex	-	Tes Smith
South Essex	-	Simon Griffiths
Social Care Direct	-	Sue Hawkins

Adult Safeguards Unit

☎ 01245 434861

✉ adult.safeguardsunit@essex.gov.uk

☎ 01245 550355

Children's Safeguards Unit

☎ 01245 436744

✉ children.safeguarding@essex.gov.uk

Essex Police

☎ 0300 333 4444 (non emergency number)

Senior Consultant Practitioners

The Senior Consultant Practitioner for your locality can be contacted via the ASU on 01245 434861 or speak to the duty Senior Consultant Practitioner on the same number

Training and Development

Essex Brokerage Service

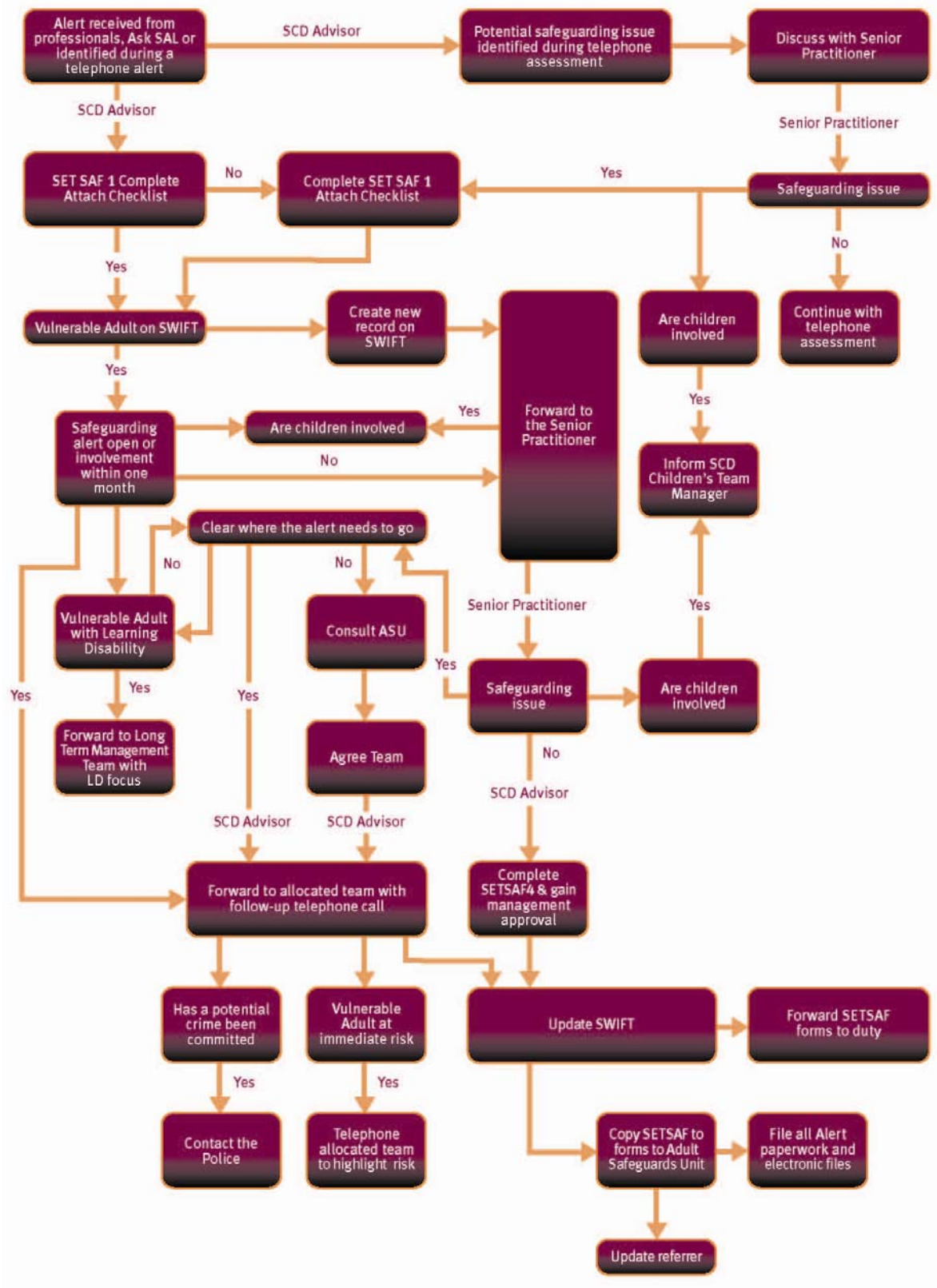
☎ 01245 434396

✉ mailessex@brokerageservice@essex.gov.uk

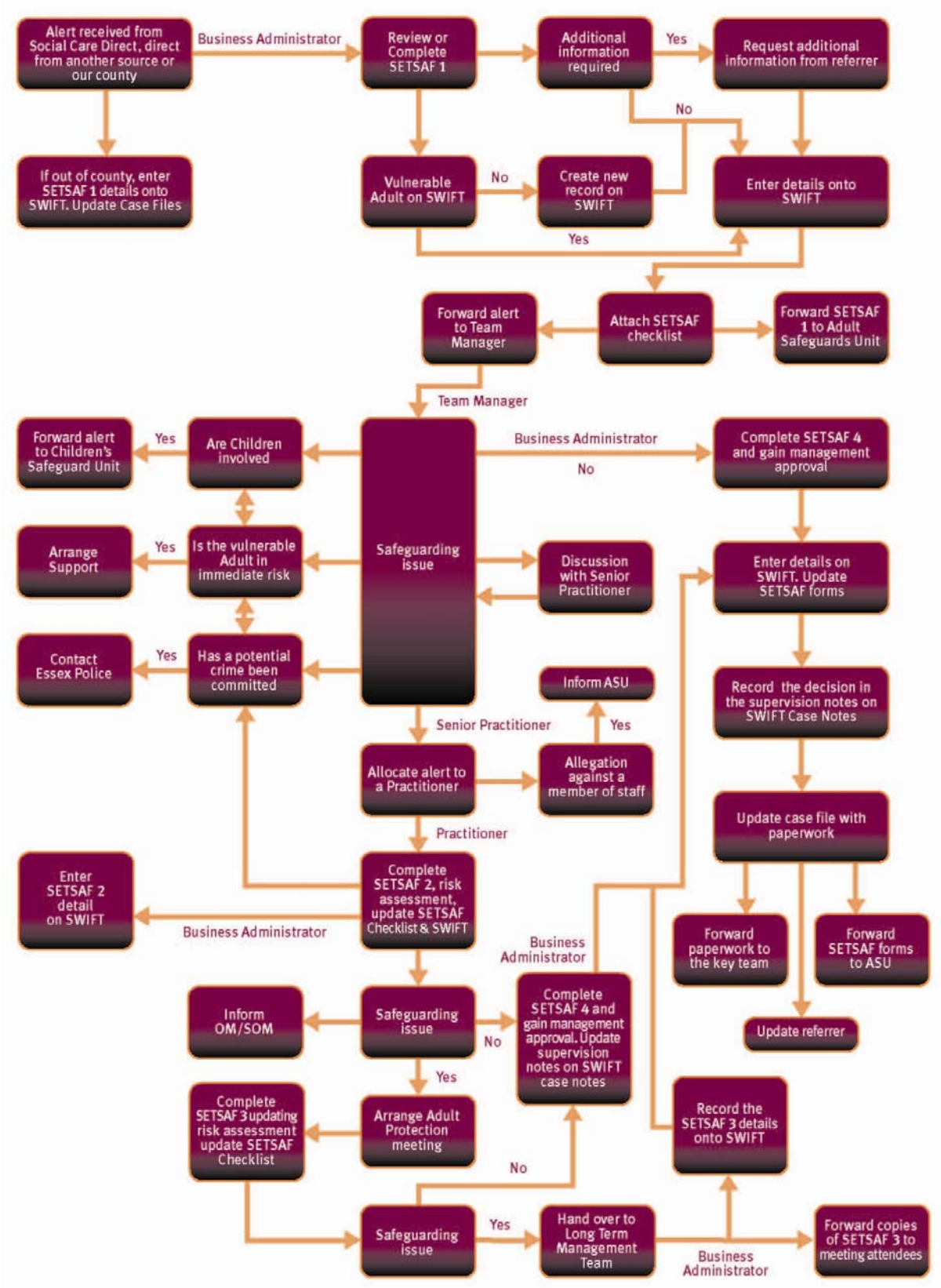
300 333444

13. Appendix

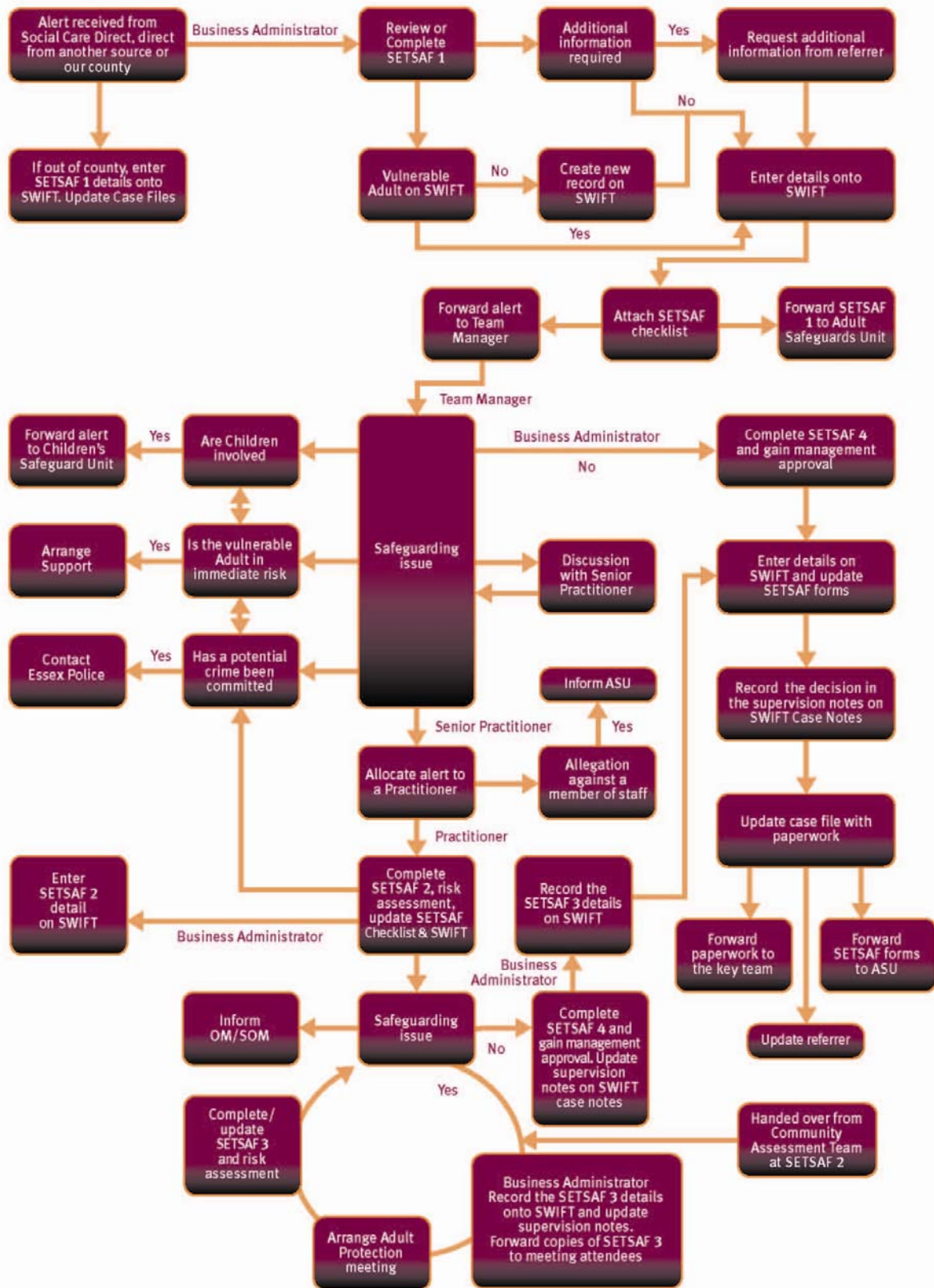
13.1 Social Care Direct Process Flowchart



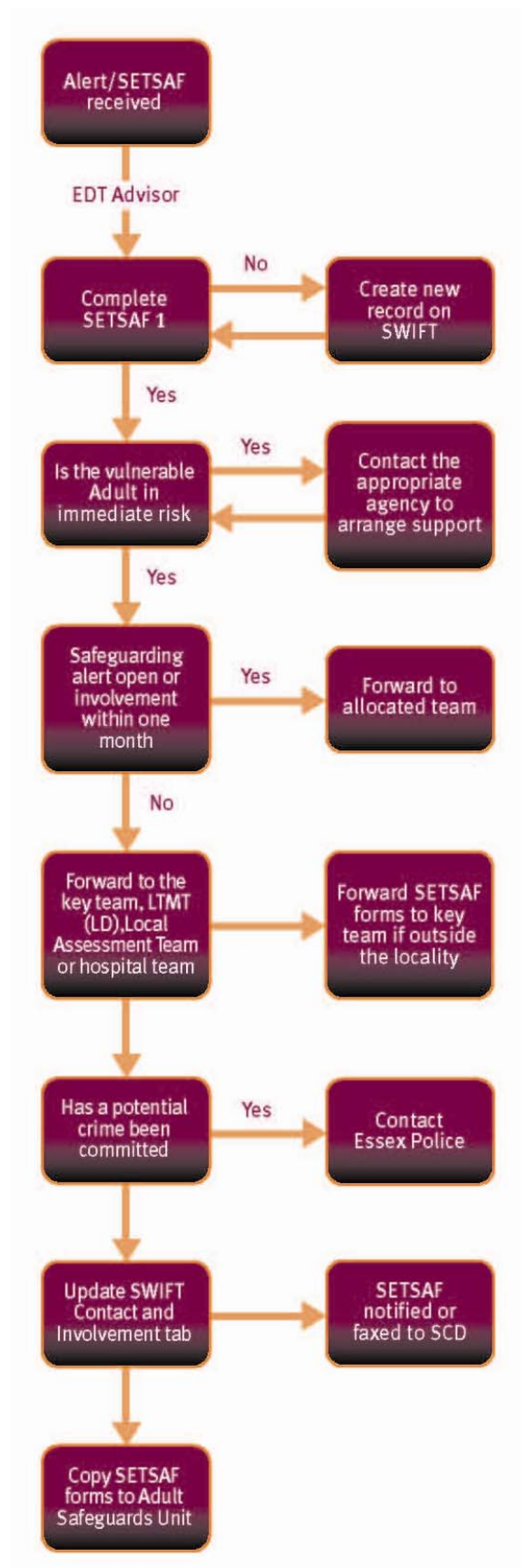
13.2 Community Assessment Team Process Flowchart



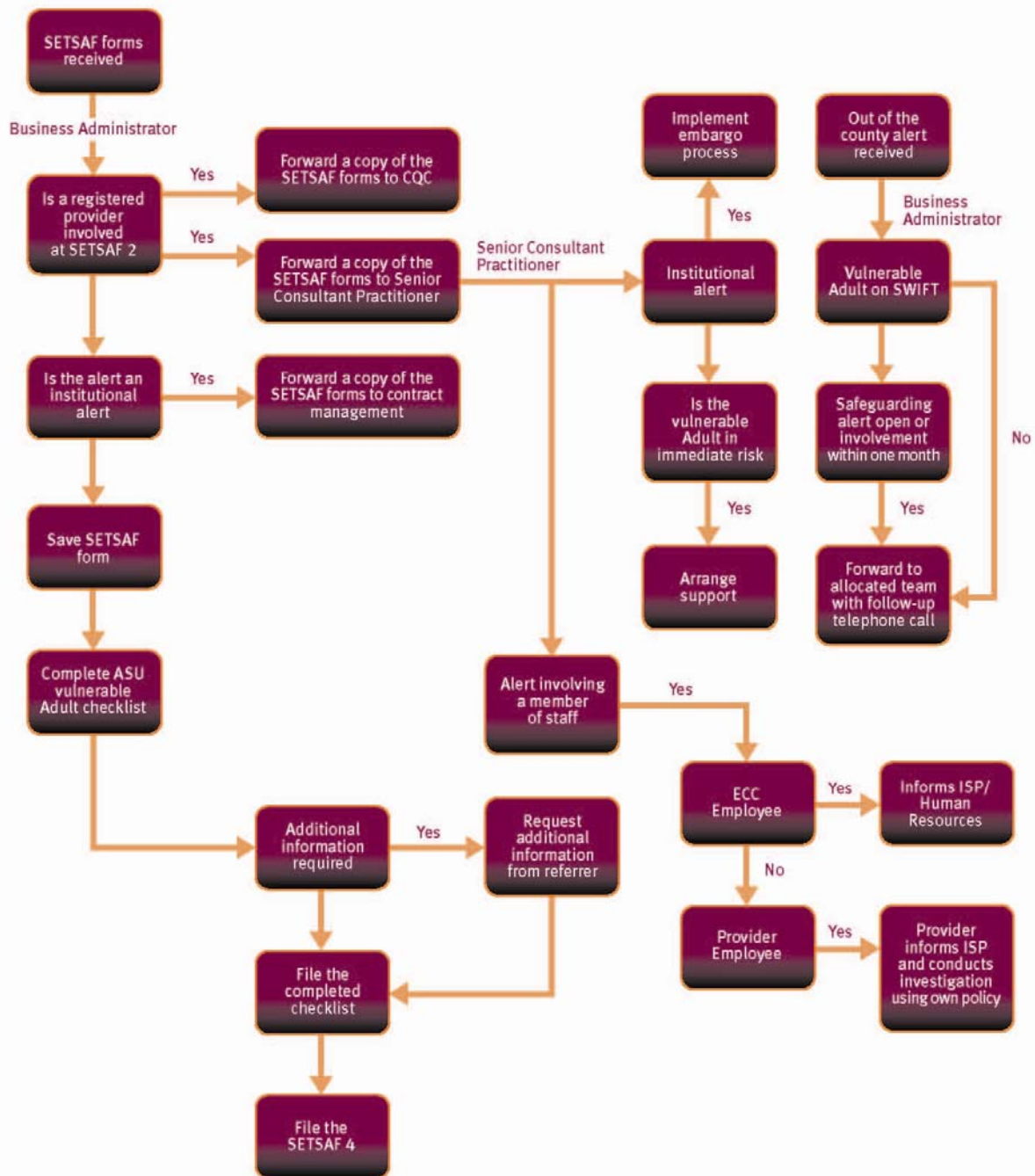
13.3 Long Term Management Team Process Flowchart



13.4 Emergency Duty Team Process Flowchart



13.5 Adult Safeguards Unit Process Flowchart



13.6 Safeguarding Training

Module 1

How long: Half day

Method of delivery: Online

Aimed at: All members of staff

Time limit to complete training: 6 weeks from start of employment

Module 2

How long: Two days

Method of delivery: Course

Aimed at: All front line staff

Time limit to complete training: 6 months from start of employment

Module 3

How long: Two days

Method of delivery: Course

Aimed at: Practitioners, Senior Managers and Senior Practitioners

Time limit to complete training: 12 months from start of employment

Module 4

How long: Two days

Method of delivery: Course

Aimed at: Practitioners, Senior Managers and Senior Practitioners

Time limit to complete training: 12 months from start of employment