

# UP Safeguarding Adults Policy

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## Important Contacts

ROLE	NAME	CONTACT DETAILS
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## 1. Introduction

Unlocking Potential's mission is to provide tailored therapeutic support to more children, while training the practitioners of the future to build holistic, resilient social systems that equip children and their families with the confidence, tools, and skills to thrive at school and within their communities. Unlocking Potential takes all forms of abuse seriously.

## 2. Policy Statement

Unlocking Potential believes that all adults have the right to live free from abuse, neglect and exploitation. We recognise our responsibility to safeguard adults we work with, especially adults who have care and support needs and who may be unable to protect themselves. We will act promptly on concerns, work in partnership with local Safeguarding Adults services, and create a culture where people feel safe to speak up.

Because we work with adults and families, we also recognise that concerns about an adult may reveal risks to a child. Where there is an actual or potential risk to a child, the welfare of the child is paramount, and we will follow our Child Protection & Safeguarding Policy and local children's safeguarding arrangements alongside this policy.

This safeguarding adult's policy and procedure is based on principles of best practice and on current research, legislation, government and local authority guidance.

At Unlocking Potential, we understand that for effective safeguarding good liaison is established and maintained between other specialist agencies including housing, health, education (especially schools), mental health and social care.

## 3. Purpose of this Policy

This policy sets out:

1. How we prevent abuse and neglect
2. How to recognise signs of abuse
3. How to report and record concerns
4. Roles and responsibilities
5. How we work with the local authority and other agencies
6. How we manage allegations about staff, volunteers or partners

It applies to: trustees, staff, trainees, students, volunteers and anyone working on behalf of the organisation.

## 4. Legal and Policy Framework

This policy is informed by:

- The Care Act 2014 and Care and Support Statutory Guidance (adult safeguarding duties)
- The Mental Capacity Act 2005 and Code of Practice (capacity, consent and best interests)
- Human Rights Act 1998
- Data Protection Act 2018/UK GDPR (sharing information lawfully)
- Domestic Abuse Act 2021
- Charity Commission guidance: Safeguarding and protecting people for charities and trustees
- Local Safeguarding Adults Board (SAB) procedures

## 5. What is Adult Safeguarding?

Under the Care Act 2014, safeguarding duties apply to an adult who:

1. Has needs for care and support (whether or not the local authority is meeting any of those needs), and
2. Is experiencing, or is at risk of, abuse or neglect, and
3. As a result of those care and support needs, is unable to protect themselves

We will also act proactively for adults who do not exactly meet this definition but who we judge to be at heightened risk because of domestic abuse, exploitation, homelessness, substance misuse, mental ill-health or caring responsibilities.

## 6. Types of Abuse and Neglect

We adopt the Care Act categories:

- Physical abuse
- Domestic abuse (including coercive control and so-called 'honour' based abuse)
- Sexual abuse
- Psychological or emotional abuse
- Financial or material abuse
- Modern slavery
- Discriminatory abuse
- Organisational/institutional abuse
- Neglect and acts of omission
- Self-neglect

We will also remain alert to:

- Online/digital abuse
- Exploitation linked to debt, housing or immigration status
- Carer stress where the carer or the cared-for person is at risk

## 7. Principles

We follow the six Care Act principles:

1. Empowerment – supporting people to make their own decisions and give informed consent
2. Prevention – acting early before harm occurs
3. Proportionality – least intrusive response appropriate to the risk
4. Protection – support and representation for those in greatest need
5. Partnership – local solutions through services working together with their communities
6. Accountability – transparency in safeguarding practice

## 8. Roles and Responsibilities

- The Board of Trustees hold overall responsibility for safeguarding and must ensure that there are appropriate Safeguarding Policies and that they are implemented effectively, the Safeguarding Trustee has a lead role in this regard. Trustees also have duties to manage risk and to protect UP's assets and reputation.
- The Chief Executive is responsible for ensuring that the Safeguarding policy is implemented within UP as a whole and for providing appropriate staff, trainee/student and volunteer training where necessary as well as appropriate resourcing. They are also responsible for ensuring that serious incidents are escalated to the Board and, where relevant, the Charity Commission.
- The Director of Safeguarding and Business Development is the overall Designated Safeguarding Lead (DSL). They are responsible for internal staff training and for ensuring that the charity is kept abreast of

current legislation and best practice. They are also responsible for coordinating, processing, and keeping records of all incidents and all referrals to external agencies.

- Each programme also has Designated Safeguarding Leads (DSLs) who act as the first point of contact for concerns, give advice to staff/trainees/students/volunteers, make or coordinate referrals to the local authority Safeguarding Adults team, keep secure records, liaise with other agencies as appropriate (police, children's services, MARAC, SAB).
- The Head of HR is responsible for ensuring that all employed staff have a current DBS clearance, and that safer recruitment checks are carried out. The Head of HR is a member of the charity's Senior Leadership Team.
- Programme Directors or Leads, including the Family Support Work Service Manager, are responsible for the implementation of the safeguarding policies in their area and the enactment of safe working practices. They should also be aware of the relevant Local Authorities guidance and work with these Safeguarding teams to ensure UP's policies are in line with and complement local procedures. Programme Leads are also responsible for ensuring that staff and volunteers in their areas have the necessary DBS checks carried out for the role they are undertaking.
- It is the responsibility of all Managers to ensure that all safeguarding issues raised in UP are effectively responded to, recorded, and referred to the appropriate agency. They are also responsible for arranging safeguarding training for all staff and volunteers who regularly and frequently work with children, young people, families, and vulnerable adults and that this training is updated regularly.

Managers also have the responsibility of publishing, in accessible areas for all staff and volunteers, the telephone number for their 'local authority safeguarding concerns reporting line and the Local Authority Designated Officers (LADO) contact details. Where staff are working in other organisations settings, for example schools, this may not be appropriate.

- UP has several relationships and partnerships with external organisations. As a result of this, UP staff and/or volunteers may be placed within another organisation as part of their role, e.g. schools. Where this is the case, staff members/volunteers are familiar with the partner organisation's own internal safeguarding policies and procedures.

Therefore, in the event of a safeguarding concern the UP-staff member/volunteer will report this in line with the partner organisation's own policies and procedures. However, this does not replace the UP' staff member/volunteer from following UP's safeguarding policy and procedures set out in this document. In such instances of a safeguarding concern, the UP staff member/volunteer should expect to make more than one record of concern: both within the external organisation and internally within UP.

- All staff and volunteers are responsible for safeguarding children, young people, and vulnerable adults. They are also responsible for completing safeguarding induction and refreshers. It is everyone's responsibility to report concerns immediately using the procedure detailed below and accurately record information maintaining appropriate confidentiality.

## 9. Safer Recruitment, Induction and Training

We will:

- Recruit in line with safer recruitment principles, using DBS checks where roles are eligible

- Take up references and explore gaps in employment
- Provide safeguarding induction for all new starters
- Provide role-specific training for staff working directly with adults/families
- Keep a central record of training

## 10. Recognising and Responding to Concerns

A concern might arise from:

- Something an adult tells us (disclosure)
- Something we observe
- Something another person tells us
- Patterns in attendance, behaviour, finances or home conditions If you

think someone is in immediate danger, call 999

Otherwise, staff/trainees and students/volunteers must:

1. Listen and reassure – do not promise confidentiality; explain you may need to share the information to keep them safe
2. Record – record on Salesforce what was said/seen as soon as possible, using the adult's own words where possible
3. Report – pass the concern to the DSL the same working day
4. DSL action – the DSL will decide whether:
  - No further action is required
  - Early help/support within the organisation is sufficient
  - To seek advice from the local authority Safeguarding Adults team
  - To make a formal s42 Care Act enquiry/referral
  - To also make a referral to children's services if a child is involved or may be at risk We will

follow the local authority's threshold guidance and safeguarding procedures.

## 11. Information Sharing and Confidentiality

We will share information where there is a safeguarding concern and where doing so may prevent or reduce risk of harm, even if consent is withheld, where:

- A vulnerable adult or child is at risk
- A crime may have been committed
- It is required by law

We will share only relevant information, with the right people, on a need-to-know basis, and we will record what we shared and why.

## 12. Mental Capacity and Consent

Before taking safeguarding action, we will, where practicable:

- Presume capacity and support the adult to make their own decision
- Assess capacity in line with the Mental Capacity Act, where there is doubt
- Act in the person's best interests if they lack capacity, using the least restrictive option.

We recognise that an adult with capacity may choose to live with a level of risk. However, we may still need to act without consent if others (including children) are at risk, if a crime is suspected, or if coercion/duress is present.

### 13. Managing Allegations against Staff or Volunteers

We are aware of the possibility of allegations being made against members of staff, trainees/students and volunteers who are working with or may come into contact with vulnerable adults whilst at UP.

If an allegation is made against a member of staff, trainee/student or volunteer this should be brought to the attention of the relevant Director. In the case of an allegation being made against the Director this must be brought to the attention of the CEO or Chair of Trustees.

The Director, or CEO must discuss with the LADO the nature of the allegation, in order for the appropriate action to be taken. They will need to:

- Refer to the LADO immediately and follow up in writing within 24 hours
- Consider safeguarding arrangements for the vulnerable adult concerned
- Follow the instruction of the LADO
- Consider the rights of a staff member, trainee/student or volunteer involved for a fair and equal process of investigation
- Ensure that the appropriate disciplinary procedures are followed

Allegations against a member of staff, trainee/student or volunteer who no longer works/volunteers for the organisation should be referred to the police. Historical allegations of abuse should also be referred to the police.

### 14. Referral procedures for staff and volunteers

#### 14.1 What to do if you are concerned

Safeguarding is everyone's responsibility.

If a member of staff believes that a vulnerable adult is at imminent risk of significant harm they should contact the police by ringing 999 and then report the matter to their manager and/or a DSL. If staff are based in another setting, such as a school, UP staff should liaise with the relevant staff member.

If a member of staff has concerns that a vulnerable adult is at risk of harm or abuse, they should complete the Safeguarding Concern Form on Salesforce.

A referral should not be delayed in order to discuss with a DSL or your Manager. If it is felt/identified that a person is at immediate risk and you are unable to contact a DSL and your Manager is unavailable, you should contact the adult social care department at the appropriate local authority and/or call 999 depending on the nature of the concern.

*Local Authority Adult's Social Care* act as the principle point of contact for safeguarding concerns relating to vulnerable adults. Anyone who has a concern about a vulnerable adult's welfare should make a referral to their local authority's adult's social care team.

#### 14.2 Practices and Procedures

Vulnerable adults, may disclose information that causes concern. In these situations, it is important you:

- Stay calm and listen carefully
- DO NOT question their account or probe for further information
- DO NOT promise confidentiality; be honest and explain that you will need to pass this information on in order to help
- Do reassure them that they have done the right thing in telling you
- Take the following steps (please see flow diagram in Appendix A):

Inform an UP DSL as soon as possible. If someone is at an immediate risk of significant harm the matter should be immediately referred to the police or adult social care.

On receipt of a Safeguarding concern via Salesforce, the DSL will assess next steps and inform the staff member, trainee/student or volunteer of the actions they intend to take e.g. informing the Local Authority (LA).

## 15. All UP Programmes/Services

All programmes and services also need to follow the steps below:

- The concern should be discussed with the client and their consent sought.
- Regardless of whether a referral is made, all observations, relevant information and actions taken should be recorded as soon as possible on Salesforce (UP's database)
- If a written referral is required, a copy should be uploaded to Salesforce and shared with relevant staff
- An acknowledgment from the Local Authority should be received within 24 hours. If none is received, a follow up with the service by a DSL is required.

It is the responsibility of the staff or volunteer who received the disclosure/highlighted the suspected concern/made the observation to follow up with the relevant manager to ensure the required action(s) has taken place in a timely fashion. Once confirmation of the follow up has been received, responsibility then lies with the relevant manager.

## 16. Recruitment, Selection and Training

### 16.1 Recruitment

No direct work with vulnerable adults can begin until the necessary safer recruitment checks have been completed in full for staff, volunteers and trainee/student therapists on placement working directly and alone with vulnerable adults. These include the receipt of at least two satisfactory references, which must cover a period of five years, and an enhanced DBS check which is updated on a three yearly basis or on a 'live' basis for those registered with the DBS update service (see Appendix B for a full list).

### 16.2 Training

When new staff, volunteers or trainee/students join our organisation they will be informed of the safeguarding arrangements in place.

Every new member of staff or volunteer will have an induction period that will include essential safeguarding information, including having to complete online safeguarding training in their induction. Staff who work directly



with vulnerable adults will also have classroom (online or in person) based safeguarding training within their first 6 months in post.

The induction will also remind staff and volunteers of their responsibility in relation to safeguarding, the remit of the role of their Manager and DSL, and that we will work with other agencies and partners in a co-ordinated way to promote the welfare of children, young people and adults at risk to protect them from harm.

Each term all staff will be given a safeguarding update during a team meeting or training event that reminds staff about safeguarding procedures in the organisation and provides updates on topical safeguarding issues in their area. Staff will also be required to sign up to identified regular e-updates and access specialist/topical safeguarding training throughout the year for independent ongoing learning.

DSLs and Deputy DSLs will undertake advanced safeguarding training; this will be undertaken at least every two years to update their awareness and understanding of the impact of the wider agenda of safeguarding issues.

## 17. Record-keeping

We will hold records in line with our records retention schedule.

All safeguarding concerns, discussions, decisions made and the reasons for those decisions must be recorded in writing. This should include instances where referrals were or were not made to another agency such as local authority adult social care etc. If you are in any doubt about whether to record something, discuss it with a DSL.

Records will include:

- A clear and comprehensive summary of the concern
- Details of how the concern was followed up and resolved
- A note of any action taken, decisions reached and the outcome

Any non-confidential records will be readily accessible and available. Confidential information and records will be held securely and only available to those who have a right or professional need to see them.

Safeguarding records relating to vulnerable adults and families will be retained for a reasonable period of time after they have ceased receiving support from the service.

For the Schools Programme and the Family Support Programme the records are stored on our Salesforce case management system, only staff with access to that family are able to see confidential safeguarding records.

## 18. Participation Statement

Unlocking Potential is committed to involve children, young people, their families and other key stakeholders in how we manage and improve our direct services. When this policy or procedure is reviewed, we will consult and involve children, young people, their families and stakeholders to consider their views.

## 19. Policy Review

This policy will be reviewed annually or sooner if:

- There is a change in legislation or statutory guidance
- Learning from a safeguarding adults review or serious incident requires it
- We significantly change what we do or who we work with

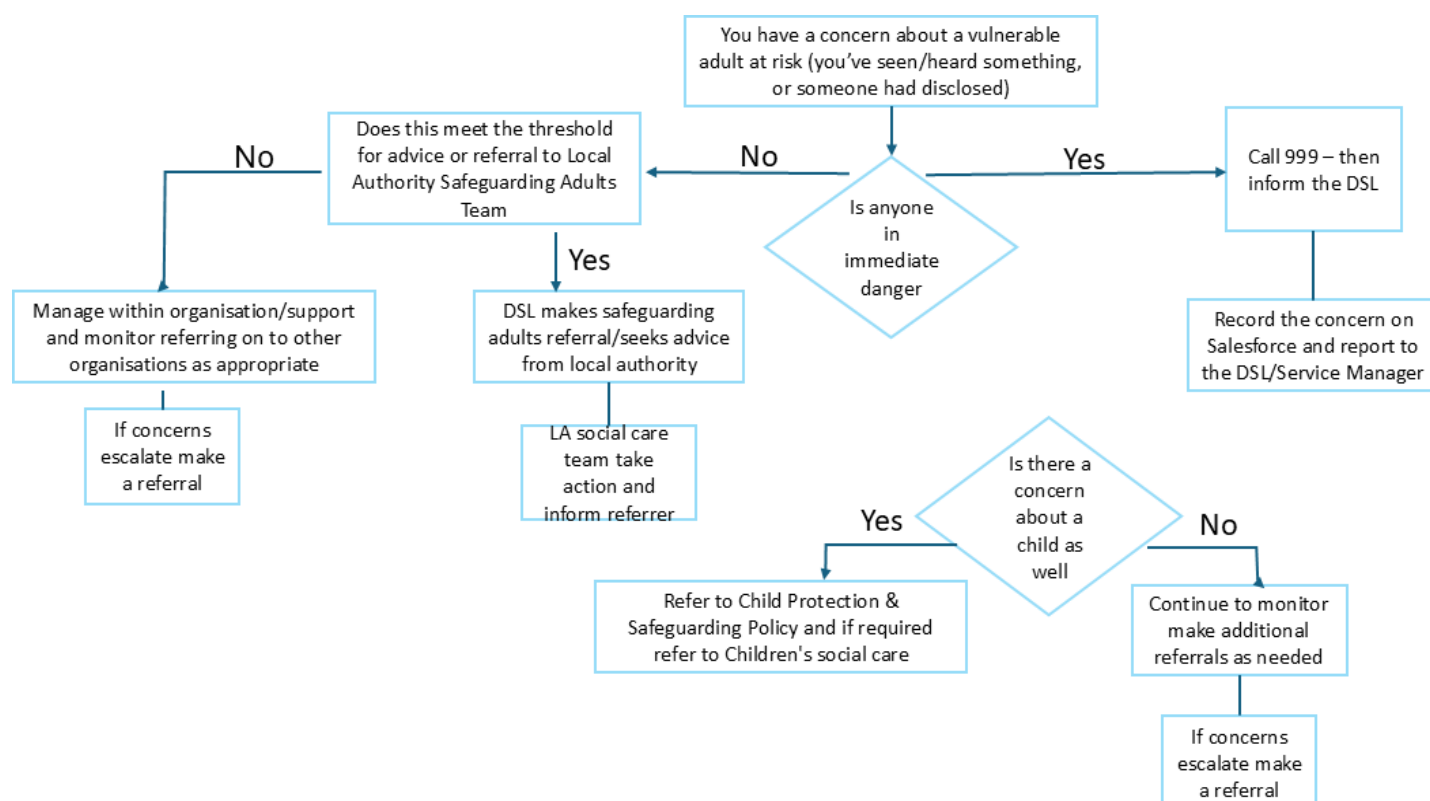
## 20. Links with other policies

This policy links to the following policies and procedures:

- Child Protection & Safeguarding Policy
- Whistle Blowing
- Grievance
- Disciplinary
- Safer Recruitment
- Equality and Diversity
- Data Protection
- Privacy Notices
- Health and Safety
- Complaints
- Managing Safeguarding Allegations Against Staff

### APPENDIX A: Adult Safeguarding Procedure

Procedure if you have concerns about a vulnerable adult's welfare. See section 14 for what to do.



## Appendix B: Safer Recruitment and DBS Checks – Policy and Procedures

We will record information on checks carried out. Copies of these checks, where appropriate, will be held in individuals' personnel files, we follow requirements and best practice in retaining this information.

	Checks
SP & FSW Staff	<ul style="list-style-type: none"> <li>Enhanced DBS and barred list check</li> <li>All other pre-employment checks (e.g. identity, refs, medical, right to work, quals, overseas etc)</li> <li>Child disqualification check (if relevant)</li> <li>Professional Membership check (if relevant)</li> </ul>
CEO	<ul style="list-style-type: none"> <li>Enhanced DBS and barred list check</li> <li>Section 128 check</li> <li>All other pre-employment checks (e.g. identity, refs, medical, right to work, quals, overseas etc)</li> </ul>
Trustees	<ul style="list-style-type: none"> <li>An enhanced DBS check</li> <li>They <u>do not</u> need a barred list check unless they're in regulated activity. In cases where they are already on the update service their DBS check may already include a barred check</li> <li>Identity/right to work/overseas</li> <li>Secretary of state countersigned check – only if requested to do so</li> <li>Chair of Trustees only – Countersigned checks by secretary of state</li> </ul>
Agency	<ul style="list-style-type: none"> <li>Written confirmation from the agency confirming safer recruitment checks carried out – we record when received and what checks</li> <li>Identity Check on their first day</li> <li>Sight of their existing enhanced DBS with barred list certificate</li> </ul>
Volunteers	<ul style="list-style-type: none"> <li>Volunteers in regulated activity need an enhanced DBS check with barred list information</li> <li>Volunteers not in regulated activity – enhanced check only</li> <li>Overseas checks (if required)</li> <li>References</li> <li>Identity Check</li> </ul>

DBS and barred list checks will be updated on a three yearly basis or on a 'live' basis for those registered with the DBS update service.

### New staff

When appointing new staff, we will:

- Verify their identity
- Obtain (via the applicant) an enhanced Disclosure and Barring Service (DBS) certificate, including barred list information for those who will be engaging in regulated activity (see definition below). We will obtain the certificate before, or as soon as practicable after, appointment, including when using the DBS update service. We will not keep a copy of the certificate for longer than 6 months, but when the copy is destroyed we may still keep a record of the fact that vetting took place, the result of the check and recruitment decision taken
- Obtain a separate barred list check if they will start work in regulated activity before the DBS certificate is available
- Verify their mental and physical fitness to carry out their work responsibilities

- Verify their right to work in the UK. We will keep a copy of this verification for the duration of the member of staff's employment and for 2 years afterwards
- Verify their professional qualifications, as appropriate for the role
- Ensure they are not subject to a prohibition order if they are employed to be a teacher
- Carry out further additional checks, as appropriate, on candidates who have lived or worked outside of the UK, including (where relevant) for all staff, including teaching positions: [criminal records checks for overseas applicants](#). For teaching positions: obtaining a letter from the professional regulating authority in the country where the applicant has worked, confirming that they have not imposed any sanctions or restrictions on that person, and/or are aware of any reason why that person may be unsuitable to teach
- We will ask for written information about previous employment history and check that information is not contradictory or incomplete
- We will seek references on all short-listed candidates, including internal candidates. We will scrutinise these and resolve any concerns before confirming appointments. The references requested will ask specific questions about the suitability of the applicant to work with children

#### Existing Staff

If we have concerns about an existing member of staff's suitability to work with children, we will carry out all the relevant checks as if the individual was a new member of staff. We will also do this if an individual moves from a post that is not regulated activity to one that is.

We will refer to the DBS anyone who has harmed, or poses a risk of harm, to a child or vulnerable adult where:

- We believe the individual has engaged in [relevant conduct](#); or
- The individual has received a caution or conviction for a relevant offence, or there is reason to believe the individual has committed a listed relevant offence, under the [Safeguarding Vulnerable Groups Act 2006 \(Prescribed Criteria and Miscellaneous Provisions\) Regulations 2009](#); or
- The 'harm test' is satisfied in respect of the individual (i.e. they may harm a child or vulnerable adult or put them at risk of harm); and
- The individual has been removed from working in regulated activity (paid or unpaid) or would have been removed if they had not left

#### Agency and third-party staff

We will obtain written notification from any agency or third-party organisation that it has carried out the necessary safer recruitment checks that we would otherwise perform. We will also check that the person presenting themselves for work is the same person on whom the checks have been made and have sight of the original DBS certificate to ensure the correct check has been undertaken.

#### Volunteers

We will:

- Never leave an unchecked volunteer unsupervised or allow them to work in regulated activity
- Obtain an enhanced DBS check with barred list information for all volunteers who are new to working in regulated activity
- Carry out a risk assessment when deciding whether to seek an enhanced DBS check without barred list information for any volunteers not engaging in regulated activity. We will retain a record of this risk assessment

## Trustees

All Trustees will have:

- An enhanced DBS check. They will only have an enhanced DBS check with barred list information if working in regulated activity or in the instance they are on the update service and their check already included a barred list check
- Identity check
- Right to work in the UK check
- Other overseas checks deemed necessary if they have lived or worked outside the UK
- The Chair of the Board of Trustees/Proprietor Body will have DBS, Right to Work, Identity and Overseas checks and be countersigned by the secretary of state

## Appendix C: Sources of Information and Support Wandsworth

### Adult Social Care:

<https://www.wandsworth.gov.uk/health-and-social-care/adult-social-care/adult-social-care-referral/>

### Relevant Voluntary Sector Agencies Action on Elder Abuse

A national organisation based in London. It aims to prevent the abuse of older people by raising awareness, encouraging education, promoting research and collecting and disseminating information.

Tel: 020 8765 7000

Email: [enquiries@elderabuse.org.uk](mailto:enquiries@elderabuse.org.uk) [www.elderabuse.org.uk](http://www.elderabuse.org.uk)

### Ann Craft Trust

A national organisation providing information and advice about adult safeguarding. Tel: 0115 951 5400

Email: [Ann-Craft-Trust@nottingham.ac.uk](mailto:Ann-Craft-Trust@nottingham.ac.uk)  
[www.anncrafttrust.org](http://www.anncrafttrust.org)

### Hourglass (formerly Action on Elder Abuse)

UK-wide charity tackling abuse of older people; 24/7 helpline and online chat.

Tel: 0808 808 8141

[www.wearehourglass.org](http://www.wearehourglass.org)

### Men's Advice Line

For male domestic abuse survivors Tel:

0808 801 0327

### NAPAC (National Association for People Abused in Childhood)

Dedicated national support service for adult survivors of any form of childhood abuse, including sexual abuse. Support line:

0808 801 0331

### National LGBT+ Domestic Abuse Helpline Tel:

0800 999 5428

### National 24Hour Freephone Domestic Abuse Helpline

England
Tel: 0808 2000 247 <a href="http://www.nationaldahelpline.org.uk/Contact-us">www.nationaldahelpline.org.uk/Contact-us</a>

### Rape Crisis England and Wales – 24/7 Rape and Sexual Abuse Support Line

National, specialist support for anyone 16+ affected by any form of sexual violence, recent or non-recent. Tel: 0808 500 2222 (free, 24/7)

Email: [info@rapecrisis.co.uk](mailto:info@rapecrisis.co.uk)  
[www.rapecrisis.co.uk](http://www.rapecrisis.co.uk)

### Respond

Respond provides a range of services to victims and perpetrators of sexual abuse who have learning disabilities, and training and support to those working with them.

Tel: 020 7383 0700 or

0808 808 0700 (Helpline)  
Email: [services@respond.org.uk](mailto:services@respond.org.uk)  
[www.respond.org.uk](http://www.respond.org.uk)

The Salvation Army – Modern Slavery Referral Helpline  
24/7 support and placement into the government Victim Care Contract for adult survivors in England & Wales.  
Tel: 0800 808 3733  
[www.salvationarmy.org.uk](http://www.salvationarmy.org.uk)

Samaritans  
24/7 confidential emotional support for anyone in distress or suicidal. Tel: 116 123 (free from any phone)  
[www.samaritans.org/how-we-can-help/contact-samaritan/](http://www.samaritans.org/how-we-can-help/contact-samaritan/)

Stop Hate Crime  
Works to challenge all forms of Hate Crime and discrimination, based on any aspect of an individual's identity. Stop Hate UK provides independent, confidential and accessible reporting and support for victims, witnesses and third parties.  
24 hours service:  
Telephone: 0800 138 1625  
Web Chat: [www.stophateuk.org/talk-to-us/](http://www.stophateuk.org/talk-to-us/) E  
mail: [talk@stophateuk.org](mailto:talk@stophateuk.org)  
Text: 07717 989 025  
Text relay: 18001 0800 138 1625  
By post: PO Box 851, Leeds LS1 9QS

The Survivors Trust  
UK-wide umbrella body for specialist sexual violence services; has a directory of national helplines and local services for survivors of rape and sexual abuse (including historic/childhood abuse).  
Tel: 08088 010 818  
[www.thesurvivorstrust.org](http://www.thesurvivorstrust.org)

Susy Lamplugh Trust  
The Trust is a leading authority on personal safety. Its role is to minimise the damage caused to individuals and to society by aggression in all its forms – physical, verbal and psychological.  
Tel: 020 83921839  
Fax: Email: [info@suzylamplugh.org](mailto:info@suzylamplugh.org)  
[www.suzylamplugh.org](http://www.suzylamplugh.org)

UK Modern Slavery & Exploitation Helpline (Unseen) Provides  
24/7 confidential advice and referrals.  
Tel: 08000 121 700  
[www.unseenuk.org](http://www.unseenuk.org)

Victim Support  
Provides practical advice and help, emotional support and reassurance to those who have suffered the effects of a crime.  
Tel: 0808 168 9111  
[www.victimsupport.org.uk](http://www.victimsupport.org.uk)

Women's Aid Federation of England and Wales  
Women's Aid is a national domestic violence charity. It also runs a domestic violence online help service.  
[www.womensaid.org.uk/information-support](http://www.womensaid.org.uk/information-support)