

CRM Guidance: Reviewing and Processing Safeguarding Information

CRM Guidance: Reviewing and Processing Safeguarding Information

Compiled by: [REDACTED] and [REDACTED]

Updated: August 2013, [REDACTED]

- Safeguarding information is received by CQC. The Compliance Inspector/Manager is notified and then is assigned the Enquiry in CRM.
- The Compliance Inspector/Manager must confirm whether the information received is a Safeguarding Concern or Alert and record the decision within CRM.
- For a list of what constitutes a Safeguarding Concern or a Safeguarding Alert, refer to the Safeguarding Thresholds guidance.
- The National Customer Service Centre (NCSC) will refer any Safeguarding Alerts to the relevant Compliance Inspector/Manager who in turn escalates by referring to the Local Safeguarding Authority (LSA) or Police, if necessary.

This guidance follows the process when the Compliance Inspector / Manager have received the Safeguarding information.

CRM Guidance: Reviewing and Processing Safeguarding Information

Table of Contents

Receiving Safeguarding record from an Enquiry	3
Viewing the Safeguarding record fields	5
Viewing the Safeguarding record sub tabs	9
Location sub tab	10
Alleged Victims sub tab	11
Alleged Abusers sub tab	13
Additional Information (No CPI) sub tab	15
Actions sub tab	16
Regulatory Processes sub tab	18
Enquiries sub tab	18
Activities sub tab	19
Related Safeguarding sub tab	19
Attachments sub tab	20
Redacting a Safeguarding record	21
Changing the Status of a Safeguarding record	21
22Linking a Safeguarding Enquiry to a triggered Inspection	23
Access your incomplete Safeguarding records	29
Document Version History	30

Receiving Safeguarding record from an Enquiry

Once you have opened the enquiry, read all relevant information, and check if there is any information stored in attachments, or under activities. You may have information stored as email, letter, or fax as restricted within an activity [2].

Activities		Activity Plans	Attachments	Assessments	Related Enquiries	FAQs	QA Plus Events	Audit Trail	Notes	Safeguarding
Menu ▾		New	Delete	Query						
Overview	Type	Summary	Planned Start	Planned End	Comments	Status	Done Date			
> 2	Other	Restricted Activity	26/03/2012 14:51:0			Done	26/03/2012 14:51:0			

CRM Guidance: Reviewing and Processing Safeguarding Information

Once you have reviewed the enquiry, click on the 'Safeguarding' tab [3].

Click on 'Safeguarding id' number (hyperlink) [4].

NOTE: It is best practice to close Safeguarding Enquiries once you have verified they are categorised correctly and have checked any attachments, etc. Once the Safeguarding Record is open all actions, activities and attachments are recorded under that screen.

The screenshot displays the CRM interface. At the top, there is a navigation bar with tabs: Activities, Activity Plans, Attachments, Assessments, Related Enquiries, FAQs, QA Plus Events, and Safeguarding. The 'Safeguarding' tab is selected, indicated by a red arrow and the number 3. Below the navigation bar, there is a sub-menu with options: Menu, New, Query, and Open. The 'Open' option is selected, indicated by a red arrow and the number 4. The main content area shows a table with the following columns: Safeguarding Id, Status, Created, Redacted, and Provider. A single row is visible with the value 'SFT1-336529739' in the 'Safeguarding Id' column, 'Open' in the 'Status' column, and '26/03/2012 14:58:4' in the 'Created' column. A red arrow and the number 4 point to the 'Open' status.

Safeguarding Id	Status	Created	Redacted	Provider
SFT1-336529739	Open	26/03/2012 14:58:4		

CRM Guidance: Reviewing and Processing Safeguarding Information

Viewing the Safeguarding record fields

Once the safeguarding record is opened change the status to the appropriate option:

In Progress
In Error
On Hold
Pending
Closed
[1].

Added to the Team field will be your CM, and another CI [2].

Whoever is selected (ticked) as the primary contact will appear as the 'Contact Lead' regardless of who appears in the team field [3].

The Team field will always be in alphabetical order

SFR1-336529739

Home Calendar Cases Projects Enquiries Organisations Contacts Activities Correspondence Safeguarding

Safeguarding Information

Id: SFR1-336529739

Status: Open

Alterer Name: [1]

Alterer Code: AI

Address: [2]

Team: [3]

Department: CQC Operations Del

Source of Information

Date Registered: [4]

Person Informant: [5]

Informant Name (Restricted): [6]

Informant Code: SI

Relationship to alleged victim: [7]

Other: [8]

Extent of Concern

Does the allegation concern a whole provider?: [9]

Number of Alleged Victims: [10]

Date of Information

Have they informed Safeguarding Authority?: [11]

Date Authority Informed: [12]

Altered Information (Restricted)

Filed in by: [13]

Provider

Provider Id: [14]

Postal Code: [15]

Email: [16]

Phone: [17]

Regulated By

Alleged abuse took place in a service regulated by: [18]

Regulator: [19]

Id: I-15509854

Status: Open

CQC Lead: In Error

Team: CQHM

Department: Bergh

CQC Lead: Train User 30

Team: TRAIN01

Department: CQC Operations: No

CQC Lead: Train User 30

Team: TRAIN01

Department: CQC Operations: No

CRM Guidance: Reviewing and Processing Safeguarding Information

CQC Registration information displays the Provider name and id [1].

NOTE: The details filled in on the safeguarding screen can be amended for accuracy, and or updated with more information.

Under the 'Regulated By' applet, ensure you have selected the service who is regulating the alleged abuse. In most cases, CQC [2].

The Alerter information is filled in with the name and the address of the person communicating the Safeguarding to CQC. An 'Alert code' is auto generated, when the name is filled in [3].

Menu Query Report

Home Calendar Cases Projects Enquiries Organisations Contacts Activities Correspondence Safeguarding

Safeguarding Information

id: SP41 396520739

Status: * Open

Alerter Name: Alert Code: A1

Address Line 1: Address Line 2: Town/City: Country: Postal Code: Date Submitted: Filed by:

Department: CQC Operations (NHS) Ltd

Provider: UAT 1st Care (UK) Limited

Provider Id: 1-101617969

Relationship to alleged victim: Informant Code: S1 Date Authority Informed: Have they informed? Safeguarding Authority: Date Authority Informed:

Regulated by: Regulator: Does the allegation concern a whole provider? Number of Alleged Victims: Number of Alleged Abusers:

CQC Registration

Provider: UAT 1st Care (UK) Limited

Provider Id: 1-101617969

Regulated By

alleged abuse took place in a service regulated by:

Regulator: CQC Another Regulator Not Known

Alerter Information (Restricted)

Alerter Name: Susie Blaylock

Alert Code: A1

Address Line 1: 21 Northumberland St

Address Line 2: Town/City: County: Tyne & Wear

Postal Code: NE1 4AA

Email: Phone: 0191 222 2222

CRM Guidance: Reviewing and Processing Safeguarding Information

The Alerter fields are automatically populated if there is a Contact added to the Safeguarding Enquiry. [4]

Where NCSC have ticked the **Anonymous Contact** box on the original Enquiry, the system automatically completes the fields on the Safeguarding record to show the person wishes to remain anonymous. [5]

ENQ1-818762249

Menu ▾ New Query

Enquiry Information

Enquiry #: ENQ1-818762249

Subject Organisation: Cherry Blossom ☒

Subject Organisation Type: Social Care Org

Relationship Owner: K10940 ☒

Regulatory Process: ☒ Re

Parent Enquiries: ☒ 4 ☒ Com

Contact First Name: ☒ [Redacted]

Contact Last Name: ☒ [Redacted]

Contact Organisation: ☒ [Redacted]

Email: ☒

Work Phone #: ☒

ENQ1-820013384

Menu ▾ New Query

Enquiry Information

Enquiry #: ENQ1-820013384

Subject Organisation: Cherry Blossom ☒

Subject Organisation Type: Social Care Org

Relationship Owner: K10940 ☒

Regulatory Process: ☒ Re

Parent Enquiries: ☒ 4 ☒ Com

Contact First Name: ☒ [Redacted]

Contact Last Name: ☒ [Redacted]

Contact Organisation: ☒ [Redacted]

Email: ☒

Work Phone #: ☒

SFR1-820013384

Menu ▾ New Query

Safeguarding Information

Id: SFR1-820013384

Status: * Open ☒

CQC Lead: ☒ [Redacted]

Team: ROSSD

Department: CQC Operations Delia ☒

CQC Registration

Provider: Island Care Limited ☒

Provider Id: 1-10164916

Requested By: ☒ [Redacted]

Alleged abuse took place in a service regulated by: ☒

Regulator: ☒

SFR1-820013384

Menu ▾ New Query

Safeguarding Information

Id: SFR1-820013384

Status: * Open ☒

CQC Lead: ☒ [Redacted]

Team: ROSSD

Department: CQC Operations Delia ☒

CQC Registration

Provider: Island Care Limited ☒

Provider Id: 1-10164916

Requested By: ☒ [Redacted]

Alleged abuse took place in a service regulated by: ☒

Regulator: ☒

Alert Information (Restricted)

Alert Name: Zofia Cara Jones

Alert Code: A1

Address Line 1: ☒

Address Line 2: ☒

Town/City: ☒ [Redacted]

County: ☒

Postal Code: ☒ 4 ☒

Email: ☒

Phone: ☒

Alert Information (Restricted)

Alert Name: Anonymous

Alert Code: A1

Address Line 1: Anonymous ☒

Address Line 2: Anonymous ☒

Town/City: Anonymous ☒

County: Anonymous ☒

Postal Code: Anonymous ☒

Email: Anonymous ☒

Phone: Anonymous ☒

Enquiry Information

Enquiry #: ENQ1-820013384

Category: * Confidential

Subject Organisation: Cherry Blossom ☒

Subject Organisation Type: Social Care Org

Relationship Owner: K10940

Sub Type: * Vulnerable Adult Ab

Rated Date: * 20/08/2013

Regulatory Process: ☒ Response Rec: 20/08/2013

Parent Enquiries: ENQ1-818762249 ☒ Competed Date: ☒

Case: ☒ Source: * Letter

Contact First Name: ☒ Data Protection ☒ Consent: * ☒ 5

Contact Last Name: ☒

Contact Organisation: ☒

Email: ☒

Work Phone #: ☒

SFR1-820013384

Menu ▾ New Query

Safeguarding Information

Id: SFR1-820013384

Status: * Open ☒

CQC Lead: ☒ [Redacted]

Team: ROSSD

Department: CQC Operations Delia ☒

CQC Registration

Provider: Island Care Limited ☒

Provider Id: 1-10164916

Requested By: ☒ [Redacted]

Alleged abuse took place in a service regulated by: ☒

Regulator: ☒

Alert Information (Restricted)

Alert Name: Anonymous

Alert Code: A1

Address Line 1: Anonymous ☒

Address Line 2: Anonymous ☒

Town/City: Anonymous ☒

County: Anonymous ☒

Postal Code: Anonymous ☒

Email: Anonymous ☒

Phone: Anonymous ☒

CRM Guidance: Reviewing and Processing Safeguarding Information

Statutory Notification id is taken from the Provider's notification reference, found on the original statutory notification. This may be left blank if no reference can be found [1].

The 'Source of information' holds the details of the informant [2].

If the allegation concerns the whole provider, click on the check box under 'Extent of Concerns' [3].

NOTE: The number of Alleged Victims and Abusers is also placed within this section and can be amended by clicking in the tiled fields or on the calculator icons.

Menu		Query	Redirect
Safeguarding Information			
1 Id: SFR1-336529739 Status: * Open CQC Lead: [redacted] Team: [redacted] Department: CQC Operations Del [redacted]		1 Alert Informant (Restricted) Alert Name: Suee Bloggs Alert Code: A1 Address Line 1: 21 Northumberland St Address Line 2: Town/City: County: Tyne & Wear Post Code: NE1 4AA Email: Phone: 0191 222 2222 Relationship to alleged victim: Other:	
2 Source of Information Date Registered Person Informed: Informant Name (Restricted): Informant Code: S1 Date Authority Informed:		2 Statutory Notification Id: Date Submitted: Have they informed Safeguarding Authority?: Date Registered Person Informed: Informant Name (Restricted): Informant Code: S1 Date Authority Informed:	
3 Extent of Concern Does the allegation concern a whole provider?: Number of Alleged Victims*: [calculator icon]		3 Extent of Concern Does the allegation concern a whole provider?: Number of Alleged Victims*: [calculator icon] Number of Alleged Abusers*: [calculator icon]	

Statutory Notification		Filled in by:	
1 Statutory Notification Id: Source of Information: Date Registered Person Informed: Informant Name (Restricted): Informant Code: S1 Relationship to alleged victim:		2 Have they informed Safeguarding Authority?: Date Registered Person Informed: Informant Name (Restricted): Informant Code: S1 Relationship to alleged victim:	
3 Extent of Concern Does the allegation concern a whole provider?: Number of Alleged Victims*: [calculator icon]		3 Extent of Concern Does the allegation concern a whole provider?: Number of Alleged Victims*: [calculator icon] Number of Alleged Abusers*: [calculator icon]	

CRM Guidance: Reviewing and Processing Safeguarding Information

Viewing the Safeguarding record sub tabs

The Safeguarding record contains the sub tabs below.

These tabs contain the information about the incident and are completed by the NCSC as well as Compliance Inspectors:

- Locations
- Alleged Victims
- Alleged Abusers
- Attachments
- Additional Information (No CPI)
- Actions
- Regulatory Processes
- Enquiries
- Activities
- Related Safeguarding
- Audit Trail

Home

Calendar

Cases

Projects

Enquiries

Organisations

Contacts

Activities

Correspondence

Safeguarding

SFR1-336529739

Menu

Query

Redact

Generate Secure Alert

Generate Coded Alert

1 of 1+

Safeguarding Information

Victim Information (Restricted)

Statutory Notification

Id: SFR1-336529739

Alter Name: Sisle Blogs

Secondary Modification Id:

Status: * Open

Alter Code: AI

Date Submitted:

CQC Lead:

Address Line 1: 21 Northumberland St

Source of Information:

Team: EHWSLAM

Address Line 2:

Date Registered:

Have they informed?

Department: CQC Operations Del

Town/City:

Safeguarding Authority:

CQC Registration

Provider: UAT 1st Care (UK) Limited

Postal Code: NE1 4AA

Relationship to alleged victim:

Provider Id: J-103617969

Email:

Other:

Regulated by

Alleged abuse took place in a service regulated by:

Regulator:

Phone: 0191 222 2222

Does the allegation concern a wide provider?:

Extent of concern

Number of Alleged Victims*: 2

Number of alleged abusers*: 1

Locations

Alleged Victims

Alleged Abusers

Attachments

Additional Information (No CPI)

Actions

Regulatory Processes

Enquiries

Activities

Related Safeguarding

Audit Trail

CRM Guidance: Reviewing and Processing Safeguarding Information

Location sub tab

The Location automatically appears in the Locations list when you click on the Locations sub tab. [1]

This is the Location on the Subject Organisation field of the original Safeguarding Enquiry.

To add more Locations which are relevant to the Safeguarding incident, click on the Add button in the Menu Bar. [2]

The name hyperlink in the Organisation column is a link to the Location record. [1]
It is also possible to add Regulated Activities. This enables the incident to be logged against a specific incident. [2]
This is useful if you are undertaking a Responsive Review.
The Regulated Activity options are not limited to what the Location is registered for as the Safeguarding may relate to one which is unregistered.

**Alleged Victims sub
tab**

Additional information should be added where possible in the Alleged Victim Detail applet on the right.

Alleged Victims				Menu ▼	New	Delete	Query
Code	Name	Date of Birth					
> VI	Joe Bkqgs	13/12/1946					

CRM Guidance: Reviewing and Processing Safeguarding Information

The Alleged Victim Detail applet is split into 3 sections.		
<p>As much information should be captured in the Alleged Victim Information (Restricted) section, such as Age Band, Gender, Date started service and GP's Name. [1] This section can only be viewed by the people in the Team field of the Safeguarding record.</p>	<p>Under Type of Abuse the relevant box should be ticked. More than one type can be ticked. [2]</p>	<p>The Actions and Outcomes section is for the Compliance Inspector to complete. [3]</p>
<p>They confirm whether the Safeguarding abuse is substantiated, as well as any actions or outcomes relevant to the alleged victim.</p> <p>Where the action or outcome is not listed, the Other actions taken free text box can be used.</p>		
	<div data-bbox="1131 633 1205 709">1</div> <div data-bbox="966 742 1379 1233"> <p>Alleged Victim Information (Restricted)</p> <p>Name: Joe Bloggs</p> <p>Date of Birth: 13/12/1946</p> <p>Age Band: SS - 64</p> <p>Gender: Male</p> <p>Date started using service: 02/02/2005</p> <p>GP's Name: Dr Smith</p> <p>Code: V1</p> </div>	<div data-bbox="644 633 718 709">2</div> <div data-bbox="503 742 867 1233"> <p>Type of Abuse</p> <p>Physical: <input type="checkbox"/></p> <p>Psychological / Emotional: <input type="checkbox"/></p> <p>Neglect: <input type="checkbox"/></p> <p>Sexual: <input type="checkbox"/></p> <p>Financial / Material: <input checked="" type="checkbox"/></p> <p>Discriminatory: <input type="checkbox"/></p> </div>
	<div data-bbox="1139 1419 1214 1496">3</div> <div data-bbox="768 1528 1379 1998"> <p>Actions and Outcomes</p> <p>Substantiated: <input checked="" type="checkbox"/></p> <p>The local safeguarding authority accepted the referral: <input type="checkbox"/></p> <p>Removed from service: <input type="checkbox"/></p> <p>Referred to police: <input checked="" type="checkbox"/></p> <p>Seen by GP: <input type="checkbox"/></p> <p>Taken to hospital / A&E: <input type="checkbox"/></p> <p>Disciplinary action by employer: <input type="checkbox"/></p> <p>Provider complaints procedure opened: <input type="checkbox"/></p> <p>No Further Action Taken: <input type="checkbox"/></p> <p>Other Financial material referred actions taken to police: <input type="checkbox"/></p> </div>	

CRM Guidance: Reviewing and Processing Safeguarding Information

Alleged Abusers sub tab

The **Alleged Abusers** sub tab contains information about the Alleged Abuser (s).

A record for an Alleged Abuser is created by clicking on the **New** button in the Menu Bar. [1]

The **Name** and **Date of Birth** should be filled in. [1]

Additional information should be added where possible in the **Alleged Abuser Detail** applet on the right.

The screenshot displays the CRM interface. At the top, there is a navigation bar with tabs: **Alleged Victims**, **Alleged Abusers** (selected), **Preparations**, **Additional Information (on CR)**, **Actions**, **Regulatory Processes**, **Enquiries**, **Advisors**, **Related Safeguarding**, and **Alerts**. Below the navigation bar, the **Alleged Abusers** sub-tab is active, showing a table with columns: **Code**, **Name**, and **Date of Birth**. A single record is visible with code 'P1'. To the right of the table is a **Menu** bar with buttons: **New**, **Delete**, and **Query**. Below the table, the **Alleged Abuser Detail** applet is shown, containing the following fields:

- Name:** [Redacted]
- Date of Birth:** [Redacted]
- Age Band:** [Redacted]
- Gender:** Male
- Does this person (or also use the service):** [Redacted]
- Date started using service:** [Redacted]
- GP's Name:** [Redacted]
- Code:** P1
- Relationship to alleged victim:** Employed by service
- Scheduled:** [Redacted]
- Authority accepted the referral:** [Redacted]
- Removed from service:** [Redacted]
- Referred to police:** [Redacted]
- Seen by GP:** [Redacted]
- Taken to hospital / A&E:** [Redacted]
- Discharge taken by employer:** [Redacted]
- Provider complaint procedure opened:** [Redacted]
- No Further Action Taken:** [Redacted]
- Other actions taken:** [Redacted]

At the bottom of the applet, there is a **1 of 1** indicator.

CRM Guidance: Reviewing and Processing Safeguarding Information

The Alleged Abuser Detail applet is split into 2 sections.

As much information should be captured in the Alleged Abuser Information (Restricted) section, such as Age Band, Gender, Date started service, Relationship to the Alleged Victim, GP's Name, etc. [1]
This section can only be viewed to the people in the Team field of the Safeguarding record.

The Actions and Outcomes section is for the Compliance Inspector to complete. [2]

They confirm whether the Safeguarding abuse is substantiated, as well as any actions or outcomes relevant to the alleged abuser.

Where the action or outcome is not listed, the Other actions taken free text box can be used.

1

Alleged Abuser Information (Restricted)

Name:

Date of Birth:

Age Band:

Gender:

Does this person also use the service?

Date started using service:

GP's Name:

Code: P1

Relationship to alleged victim: Employed by service

2

Actions and Outcomes

Substantiated:

The local safeguarding authority accepted the referral:

Removed from service:

Referred to police: ☒

Seen by GP: ☐

Taken to hospital / A&E: ☐

Disciplinary action by employer: ☒

Provider complaints procedure opened: ☐

No Further Action Taken: ☐

Other actions taken:

CRM Guidance: Reviewing and Processing Safeguarding Information

**Additional Information
(No CPI) sub tab**

This tab is filled in by the NCSC and the Compliance Inspector at different points in the process.

The Additional relevant information text box [1] is filled in by the Compliance Inspector. This text will feed into the Safeguarding report which The NCSC will generate and fax to Local Authority as a secure or coded alert.

The middle column contains boxes for The NCSC to complete to confirm when and who they sent the Safeguarding alert to. [2]

NOTE: The Relevant information transferred to assessment record tick box should be ignored. [4]

The column to the left is ticked by the Compliance Inspector to confirm which other Regulators or Partner Agencies have been informed. [3]

Location	Adopted Victim	Adopted Address	Adopted Name	Adopted Information (No CPI)	Adopted Process	Adopted Status	Adopted Safeguarding	Adopted Trust
<p>Additional relevant information:</p> <p>Referred to safeguarding authority as an alert by CQC: <input checked="" type="checkbox"/></p> <p>Safeguarding Authority: East Riding of Yorkshire Council <input checked="" type="checkbox"/></p> <p>Date CQC informed Authority: 14/09/2011 <input checked="" type="checkbox"/></p> <p>Relevant information transferred to assessment record: <input checked="" type="checkbox"/></p> <p>Information about the allegation passed on to another regulator or partner agency?: <input checked="" type="checkbox"/></p> <p>Police: <input checked="" type="checkbox"/></p> <p>Professional Regulatory Body: <input checked="" type="checkbox"/></p> <p>Other Regulator: <input checked="" type="checkbox"/></p> <p>NHS: <input checked="" type="checkbox"/></p> <p>LA Commissioner: <input checked="" type="checkbox"/></p> <p>Performance Body: <input checked="" type="checkbox"/></p> <p>Other Public Body: <input checked="" type="checkbox"/></p>								

1

3

Additional relevant information:

A1 observed P1 remove V1's cheque book from the drawer in the person's bed room [redacted] when A1 took V1 shopping there was no money in the account. Manager confirmed that V1 had sufficient funds

2

Referred to safeguarding authority as an alert by CQC: ☒

Safeguarding Authority: East Riding of Yorkshire Council ☒

Date CQC Informed Authority: 14/09/2011 ☒

Relevant information transferred to assessment record: ☒

Information about the allegation passed on to another regulator or partner agency?: ☒

Police: ☒

Professional Regulatory Body: ☒

Other Regulator: ☒

NHS: ☒

LA Commissioner: ☒

Performance Body: ☒

Other Public Body: ☒

CRM Guidance: Reviewing and Processing Safeguarding Information

Actions sub tab

It is mandatory on the Safeguarding record to confirm what actions have been taken for each Safeguarding incident. These are actions by CQC and the Provider/ other Agencies.

The first time each CQC action is ticked on the Safeguarding record, the system records the date and time so that we have a clear audit trail and use the data for reporting purposes.

To account for actions undertaken by CQC:

- Go to the **Actions Sub Tab**. [1]
- Tick the relevant action under **CQC Actions**. [2]
- If the action took place at the time of data entry, click away and the field to the right will auto populate with the date and time. [3]
- If you need to account for an action in the past once you tick the action, you must use the calendar pick icon [4] to populate this information.

Version 4

Locations: **Alleged Victims** | **Alleged Abusers** | **Attachments** | **Additional Info**

Menu ▾

CQC Actions

A management review was held: ☐

A responsive inspection took place: ☐

A planned inspection was brought forward: ☐

There was other contact with the provider: ☐

CQC staff attended a strategy meeting: ☐

CQC has begun or has taken enforcement action: ☐

No action taken: ☐

No further CQC action required: ☐

Noted for next planned inspection: ☐

Discussed with local Safeguarding team: ☐

1 (No CPD) Actions

Action by the provider or Where alleged abuser action by Local Safeguarding Authority Local safeguarding authority

Page 16 of 30

CRM Guidance: Reviewing and Processing Safeguarding Information

To account for actions by the Provider or other agencies you tick the relevant action boxes [5] as appropriate.

Remember:

- It is mandatory to tick at least one action for both parties; otherwise you cannot close the record down.
- Multiple actions can be ticked for both parties.
- The date and time fields for CQC actions should reflect the actual date and time they took place.

Information (No CP1)

Actions

Regulatory Processes

Enquiries

Activities

Related Safeguarding

10/11

Action by the provider or other agencies

5

Where alleged abuser is a person using the service
action by Local Safeguarding Authority about the alleged abuser

Referral to a service commissioner: ☐Local safeguarding authority protection plan for the victim(s): ☐Action by a service commissioner: ☐Prosecution by police: ☐Termination of an abuser's employment by a provider: ☐Referral to a professional regulator: ☐Other disciplinary action by a provider: ☒Disciplinary action by a professional regulator: ☐Provider took other appropriate action: ☐Referral to another regulator: ☐Police investigation: ☐Action by another regulator: ☐No further action: ☐Management plans put in place to reduce the risk of repeat events: ☐Not known: ☐

CRM Guidance: Reviewing and Processing Safeguarding Information

Regulatory Processes**sub tab**

If the Safeguarding incident linked to Enforcement activity, the Regulatory Process sub tab [1] can be used to do so. To do this you click on the **Add** button in the Menu Bar. [2]

Remember- the Enforcement Regulatory Process would be set up from the CRM Inspection record.

Enquiries sub tab

The **Enquiries** sub tab allows you link other Enquiries, (such as Safeguarding Strategy Meeting Minutes), to the Safeguarding record. [1]

To link an Enquiry you click on the **Add** button in the Menu Bar, [2]

The Enquiry ID hyperlink is a link to the original Enquiry record. [3]

By default, the original Enquiry will always be listed and accessible in the **Enquiries** sub tab of the Safeguarding record.

CRM Guidance: Reviewing and Processing Safeguarding Information

Activities sub tab

Any actions undertaken by the Compliance Inspector should always be recorded in the Activities sub tab. [1]

These could be telephone calls, e-mails, meetings, etc.

To create an Activity you click on the Add button in the Menu Bar. [2]

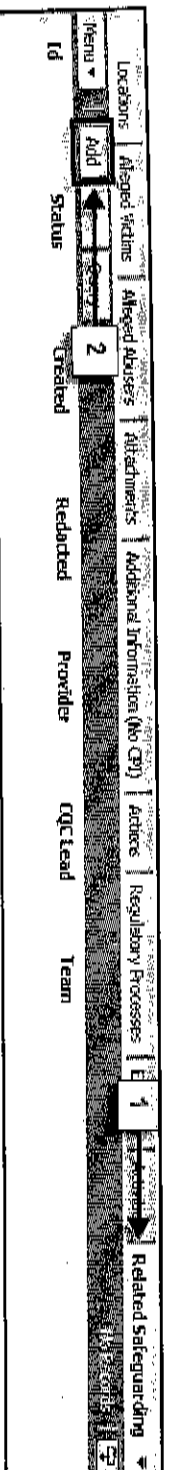
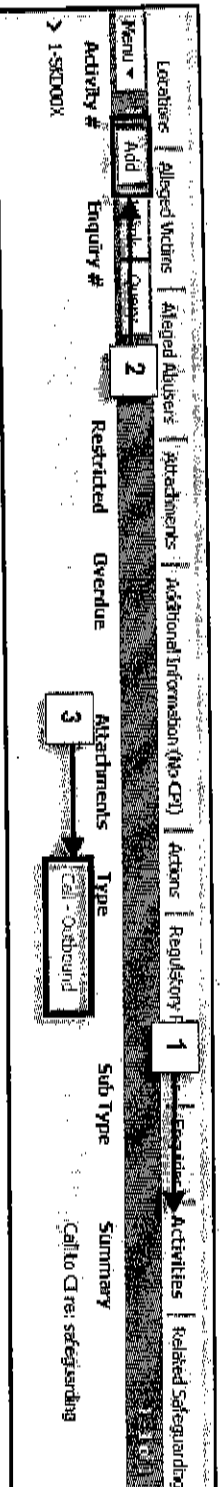
The Type column contains a hyperlink to the specific Activity record. [3]

Activity records should be completed with as much information as possible and closed down once the action has been completed.

Related Safeguarding sub tab

The Related Safeguarding sub tab [1] can be used to link other Safeguarding records.

You do this by clicking on the Add button in the Menu Bar. [2]



CRM Guidance: Reviewing and Processing Safeguarding Information


Attachments sub tab

The Attachments sub tab [1] will contain the Safeguarding report which the Safeguarding Team at The NCSC will send to the Local Authority.

The Document Type will confirm whether it went out as a secure or coded alert (dependent on the Local Authority). [2]

Locations | Alleged Victims | Alleged Abusers | **Attachments** | Additional Information (No CPU) | Actions | Regulatory Processes |

Menu ▾ | % | Query | New File | New Web Link |

Editable  Attachment Name Size Type Document Type Retention Date Reason

20110914_165502_1-268258905_Secure 18,229 pdf Safeguarding Secure 09/13/2014 16:55:0

1

2

CRM Guidance: Reviewing and Processing Safeguarding Information

Redacting a Safeguarding record

Once confirmation has been received, that the report has been sent to the Local Authority, the Safeguarding record should have sensitive information removed.

This is in keeping with the Data Protection Act.

To do this the Compliance Inspector clicks on the Redact button. [1]

A warning message will pop up to remind you that all sensitive information will be removed once you press the OK button. [2]

Once a Safeguarding record has been redacted all fields containing sensitive information are marked as "Redacted". [3]

Menu: Query, Redact, Generate Secure Alert, Generate Contact Alert, Safeguarding Information, Alert Information (Restricted), Statutory Notification, Alert Name: Sue Briggs, Statutory Notification ID: Date Submitted: Filed in by: Bob Vane

Id: 1-20625805
Saver: Open
Alert Code: All
CCX Lead: 100 User 30
Team: 700001
Dispersed: CCX Operations No. 1
CCX Registration
Provider: South West Coast (US) Limited
Provider Id: 1-123066357
Registered By: [Redacted]
Redacted about took place in a service registered by: [Redacted]
Redacted by: [Redacted]

Warning: You are about to redact sensitive information to be permanently removed. Are you sure you wish to continue? Please check all sensitive information that you wish to redact is marked as 'Redacted'.

OK Cancel

Other: [Redacted]
Email: [Redacted]
Phone: 0191 222222

Extent of Consent: Does the allegation concern a whole provider? [Redacted] Number of alleged victims: 1 [Redacted] Number of alleged abusers: 1 [Redacted]

Source of Information:
Date Registered: 06/09/2011 [Redacted]
Person Informant: [Redacted]
Informant Name (Restricted): [Redacted]
Informant Code: 51
Relationship to alleged victim: Family member (of [Redacted])
Other: [Redacted]

CRM Guidance: Reviewing and Processing Safeguarding Information

Changing the Status of a Safeguarding record

Once all action has been taken by CQC and there is no need to keep the Safeguarding record open, the Compliance Inspector should close the Enquiry down.

This is done by selecting "Closed" from the Status dropdown box. [1]
The Status values should be used as follows:

Open- Created and un-actioned

Pending- When opened and read but not yet responded to

In Progress- When regulatory work has started but not yet completed (under CQC review)

On Hold- When we are waiting for further information (Awaiting investigation outcome)

Closed- When completed

In error- Enquiry should not have been raised or is duplicate

NOTE: A closed safeguarding record can always be re-opened to record future actions, such as a police prosecution.

SFR1-336529739

Menu Query Generate Coded Alert

Safeguarding Information

Id: SFR1-336529739

Status: * Open

CQC Lead: **Closed**

Team: In Error

Department: Open

On Hold

Pending

Alert Information (Restricted)

Alert Name: Redacted

Address Line 1: Redacted

Address Line 2: Redacted

Town/City: Redacted

Country: Redacted

Postal Code: Redacted

Provider: UAT 1st Care (UK) Limited

Provider Id: 1-101617969

Email: Redacted

Phone: Redacted

Regulated By:

Alleged abuse took place at a service regulated by:

Regulator:

Linking a Safeguarding Enquiry to a triggered Inspection

This information is used for Management Information reporting.

Next, you go to the Inspection record the Enquiry is to be linked to. You could find your Inspection from the Home page or click on the Inspections Main Tab, and then locate your Inspection.

Version 4

Inspections

4

To go into the Inspection record we click on the Inspection ID hyperlink. [5]

To go into the Webform press the **Open Webform** button. [6]

You will need to go to the Planning tab to confirm the evidence being used against the relevant Outcome (s).

To do this you tick the **Safeguarding alert box [7]** to confirm the evidence which has led to inspect the Outcome. You then add details about the trigger in the free text box **Why should this Outcome be inspected?** [8]

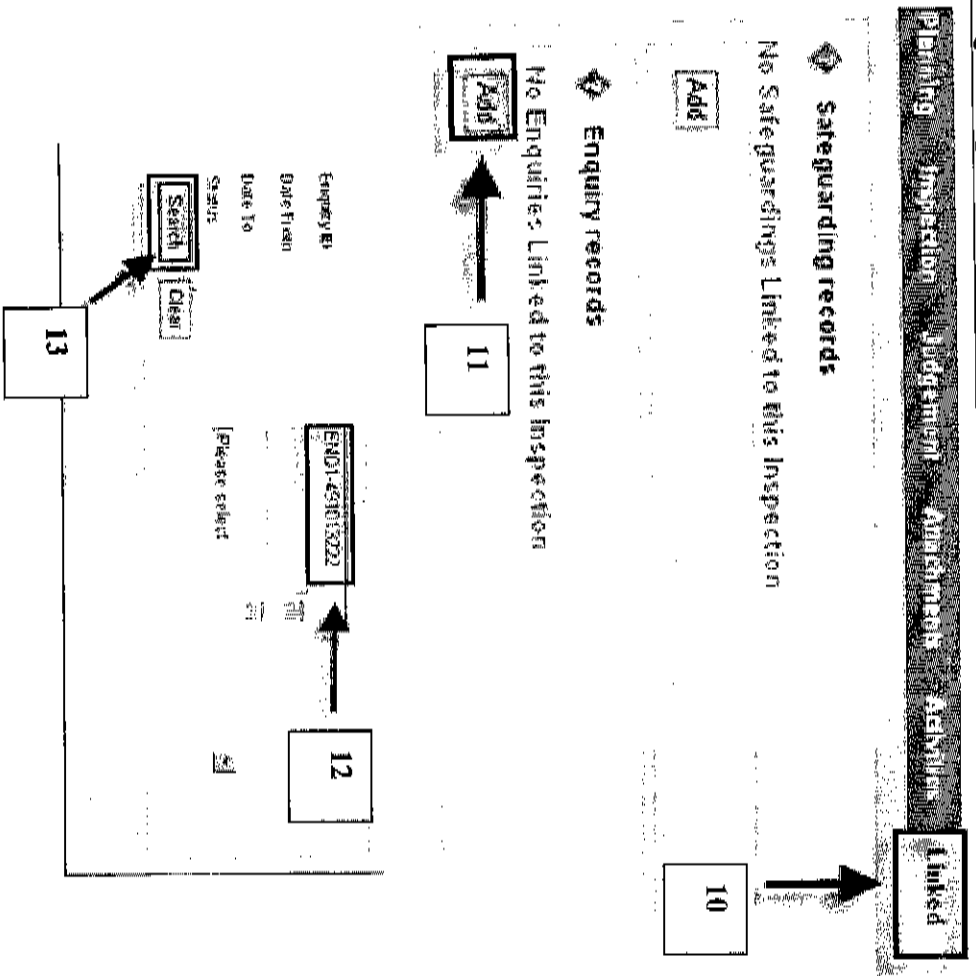
Remember to press the **Save** button [9] once the information is entered.



CRM Guidance: Reviewing and Processing Safeguarding Information

To link the original Safeguarding Enquiry that was received that triggered the Inspection go to the **Linked** tab in the Webform. [10]

To add the Enquiry press the **Add** button, [11] paste the Enquiry Id [12] which was copied earlier into the top field and press the **Search** button. [13]



CRM Guidance: Reviewing and Processing Safeguarding Information

This should bring up one result which is the Safeguarding Enquiry. You then tick the **Select** [14] box and press the **Confirm** button [15].

Enquiry ID: ENQ1-489688662

Date From:

Date To:

Status: Please select

Select ID	Date raised	Status	Organisation	Category	Type	SubType	Creator	Contact last Name	Summary
<input checked="" type="checkbox"/> ENQ1-489688662	23/01/2013	Closed	Eastways Care Home	Compliance	Safeguarding	Vulnerable Adults			Staff on Service User Emotional Abuse

You will now note that the Enquiry [16] has been linked to the Inspection record Webform.

Enquiry ID	Category	Type	SubType	Date raised	Summary	Assigned to
ENQ1-489688662	Compliance Safeguarding	Alert	Vulnerable Adults	23/01/2013	Staff on Service User Emotional Abuse	MAURIN
<input type="button" value="Add"/> <input type="button" value="Unlink"/>						

CRM Guidance: Reviewing and Processing Safeguarding Information

Safeguarding records

No Safeguarding Linked to this Inspection

Add

Enquiry records

20

An enquiry should be selected as the trigger of the inspection where an enquiry resulted in you initiating the inspection.

As the Enquiry has triggered the inspection we also tick the **Trigger** box. [17] This is used for Management Information reporting and should only be ticked for the original Safeguarding Enquiry received that triggers the inspection.

If you find that you have accidentally selected the wrong Enquiry you can tick the **Unlink** box [18] and press the **Unlink** button. [19]

If you want to access the Safeguarding Enquiry that has been linked you click on the **Enquiry ID** number [20] and this will take you into the record itself.

One thing to note, however, is that the Webform will not automatically save and close when you do this. It will still be open on your taskbar. [21]

If you do not wish to keep it open you should press the **Save** and **Close** button. [22]

Enquiry ID	Category	Type	SubType	Date raised	Summary	Assigned to	Trigger	Unlink
888688862	Compliance	Safeguarding Alert	Vulnerable Adults	23/01/2013	Staff on Service User Emotional Abuse	[redacted]	<input type="checkbox"/>	<input type="checkbox"/>

Buttons: Add, Unlink, Done, TRAINING Care Quality..., Save and Close

CRM Guidance: Reviewing and Processing Safeguarding Information

You will see that there is also the option to add the **Safeguarding record** to the Inspection record Webform as well.

To do this you click the **Add** button. [23]

You then enter the **Safeguarding ID** [24] and press the **Search** button. [25]

To select the record you tick the **Select box** [26] and press the **Confirm** button. [27]

The screenshot shows the 'Safeguarding records' section of a CRM system. At the top, there is a navigation bar with tabs: Planning, Inspection, Judgment, Assessment, and Actions. Below this, the 'Safeguarding records' section is active, displaying the message 'No Safeguardings Linked to this Inspection'. An 'Add' button is highlighted with callout 23. Below the message, there is a form for adding a new record. The 'Safeguarding ID' field is highlighted with callout 24 and contains the text 'SFR1-489688703'. The 'Date From' and 'Date To' fields are empty. The 'Status' dropdown menu is open, showing 'Please select', and is highlighted with callout 25. A 'Search' button is highlighted with callout 26. Below the search form, there is a table of existing records. The first record is highlighted with callout 27. The table has columns: Select ID, Status, Created, Redacted, Provider, and Team. The record shown is: SFR1-489688703, In Progress, 29/01/2013, Mr. Krishnadith Dodi, LAWTONL, Bhernah.

Select ID	Status	Created	Redacted	Provider	Team
<input checked="" type="checkbox"/> SFR1-489688703	In Progress	29/01/2013		Mr. Krishnadith Dodi	LAWTONL Bhernah

At the bottom of the table, there are 'Confirm' and 'Cancel' buttons. Callout 27 points to the 'Confirm' button.

**Access your incomplete
Safeguarding record**

To go into the record click on the Safeguarding ID link. [4]

Version 4

CRM Guidance: Reviewing and Processing Safeguarding Information

Document Version History

Version no.	Date created	Comments
0.1	11/10/2011	Document created
4	08/08/2013	Section Viewing the Safeguarding record fields has been updated to reflect new functionality as part of Release 22. An Anonymous Contact on the Safeguarding Enquiry feed through as an Anonymous Alerter on the Safeguarding record.