

# **EAST RIDING**

## **SAFEGUARDING ADULTS BOARD**



*Safeguarding  
is everybody's  
business*

**Audit & Assurance Sub Group**

**Terms of Reference**



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### **East Riding Safeguarding Adults Board version control template.**

All documents produced by the East Riding Safeguarding Adults Board support function, whether electronic or hard copy will be uniquely identifiable. In many instances, it is necessary to track the changes that occur to a document throughout the document's development and subsequent revision(s). Version Control is the management of multiple revisions of documents via the use of a Document Control Sheet and Version Numbering incorporated into each document name.

The Version numbering system to be used by the East Riding Safeguarding Adults Board is the system that is based on the use of version numbers with points to reflect major and minor changes to a document.

The version number of a document in a draft format will start at 0.1 reflecting its draft status and then progress through revision by incrementing the number to the right of the point. The version number will convert to 01.0 upon the document/record receiving all required approvals, and deemed ready for publishing.

When the document has been approved and authorised ready for publishing the version number will start at 01.0, and the number will only be modified after the first minor amendment to become 01.1. A major revision to the document will result in the number to the left of the point incrementing by one and the number to the right of the dot point will return to zero e.g. 02.0.

#### **Revision History:**

<b>Version</b>	<b>Date</b>	<b>Summary of Changes</b>	<b>Approved</b>
Version 1.0	Jan 2015	Final Document Agreed	
Version 1.1	Nov 2015	Care Act, data security & disposal	AA
Version 1.2	Nov 2016	Membership update	MC

Review Date: November 2018

## **1 Introduction**

1.1 These terms of reference are intended to enable the East Riding Safeguarding Adults Board (SAB) to deliver its responsibilities set out within the Care Act 2014 and in particular section 14 of the statutory guidance that accompanies the act.

1.2 The Care Act 2014 guidance states that ... *each Safeguarding Adults Board should:*

- *establish how it will hold partners to account and gain assurance of the effectiveness of its arrangements;*
- *determine its arrangements for peer review and self-audits;*
- *balance the requirements of confidentiality with the consideration that, to protect adults, it may be necessary to share information on a “need-to-know” basis.*

1.3 The Audit and Assurance sub-group is one of the group which will undertake the above functions and the remainder of this document sets out the framework within which the Audit and Assurance sub-group will operate.

## **2. Purpose.**

2.1 The purpose of the Audit and Assurance sub-group is, on behalf of the Safeguarding Adults Board, to deliver those responsibilities relating to audit and assurance of partner agencies by holding partners to account for the way in which they report and act on safeguarding concerns.

2.2 The group’s overall aim is to improve the quality of service delivery and outcomes for all adults at risk of harm & abuse in the East Riding.

## **3. Overarching Objectives:**

3.1 To promote and develop cooperative working relationships with partner organisations to encourage and support the peer review process.

3.2 Screen and review cases and audit compliance with the locally agreed safeguarding Audit & Assurance framework and the multi-agency Procedures.

- 3.3 Seek assurance that individual agencies that are tasked with actions as a result of the audit process, complete their tasks within appropriate timescales and report back to the AA group on progress.
- 3.4 To provide support and advice that afford agencies and organisations opportunities to increase the effectiveness of their safeguarding processes.
- 3.5 To identify training and development opportunities for partners as they arise through the quality assurance and monitoring process.
- 3.6 To identify emerging patterns, trends and themes from the audit of safeguarding practice and report to the Business Implementation Group.
- 3.7 To provide data to the Safeguarding Adults Board as requested on numbers/type of safeguarding intervention audited, to support the development of the SAB performance framework.
- 3.8 To contribute to the review of the multi-agency Safeguarding Adult procedures.
- 3.9 To promote best practice in adult safeguarding activity and encourage all agencies to continually improve services to adults at risk of harm.
- 3.10 To review on an annual basis both the work and membership of this sub-group.

#### **4. Individual Member Responsibilities.**

Individual members undertaking a role on the AA Group are expected to:

- 4.1 Contribute to the effective working of the AA group in promoting high standards of safeguarding work and fostering a culture of continuous improvement.
- 4.2 Ensure appropriate cases with all the relevant documentation are prepared for meetings a **week prior** to each meeting.
- 4.3 Constructively challenge and undertake scrutiny of practice and the services provided by partner organisations, encouraging a culture of continuous improvement.
- 4.4 Act as a conduit for communication between the AA Sub-Group and the members own organisation.
- 4.5 Ensure actions are implemented within their own agency as a result of the review process.

- 4.6 Ensure confidentiality is maintained in relation to information shared at the meetings, ensuring that the information is used for the purposes of that meeting only and for no other purpose.
- 4.7 Ensure that all paper copies of case files are destroyed by shredding and that all electronic files are deleted from partner agencies systems as soon as the meeting has concluded.

## **5. Individual Agency Responsibilities.**

Member organisations are required to support their AA subgroup member in carrying out their responsibilities by providing:

- 5.1 Dedicated time to fulfil their role.
- 5.2 Support to access data and adult safeguarding case files that allow delivery of the group's responsibilities.
- 5.3 Assurance that a Safeguarding accountability framework operates within their organisation, ensuring that safeguarding underpins all their activities with adults at risk of harm.

## **6. Safeguarding Adult Board Officer responsibilities**

- 6.1 To support the chair to ensure facilitation of meetings, and the co-ordination of actions in a timely manner.
- 6.2 To provide administrative support to the AA sub-group.
- 6.3 To provide independent challenge on behalf of the Safeguarding Adult Board.
- 6.4 To provide ongoing assurance to the Safeguarding Adults Board Manager that agencies are engaging appropriately in the quality assurance process.
- 6.5 To support the chair in the preparation of the annual report to the SAB.
- 6.6 To maintain an electronic reference file of cases reviewed so that should a case need to be revisited at a later date the information shared can be retrieved from the original data controller.

## **7. Accountability.**

- 7.1 The ERSAB AA subgroup is accountable to the Safeguarding Adults Board Business Implementation Group. The Chair will report to the Business Implementation group quarterly.
- 7.2 Individual members of the SAB AA subgroup remain accountable to their own organisations and to the SAB Business Implementation Group within the remit of the agreed Terms of Reference.

7.3 The SAB AA subgroup is NOT accountable for the day to day operational work; this remains the duty of individual partner agencies.

## **8. Reporting**

8.1 The Chair will report verbally on a **quarterly basis** to the SAB Business Implementation Group. The Chair will provide an **annual report** to the Safeguarding Adults Board or by exception.

## **9. Data Security**

9.1 All reports and documentation will be sent to the SAB Officer by the lead agency who is presenting their case for that meeting using secure email addresses.

9.2 Upon receipt of case files, the SAB Officer will log electronically & designate a unique reference number. This will enable an electronic audit trail to be kept of documentation reviewed at each meeting. Where necessary, should a concern be raised about a case which the group feels warrants further investigation or review, a discussion will be held with the agency concerned, so that the report can be brought back to the group as necessary.

9.3 The SAB Officer will collate the information required along with other agenda papers (minutes, action table etc) and circulate by secure email to all group members at least 5 working days prior to the meeting.

9.4 It is the responsibility of all group members to destroy hard copy documentation after each meeting, or alternatively pass to the SAB Officer for shredding.

9.5 It is the responsibility of all group members to delete electronic documentation both from email boxes and if saved electronically on files, immediately after each meeting.

## **10. Membership.**

10.1 Membership will be drawn from the partner agencies that make up the Safeguarding Adults Board and can make a significant professional contribution to the delivery of the AA subgroup's main responsibilities.

10.2 When necessary individuals from specialist areas of practice may be invited to take part in the work of the AA subgroup.

10.3 Core Membership:

- East Riding Council Adult Services

- Humberside Police
- East Riding Clinical Commissioning Group (CCG)
- Hull & East Yorkshire Hospitals NHS Trust
- Humber NHS Foundation Trust
- North Lincolnshire & Goole NHS Trust
- York NHS Foundation Trust
- East Riding Safeguarding Adults Board representative

A list of named members can be found at Appendix A of this document

## **11. Meetings**

- 11.1 The Audit and Assurance sub group will be chaired by an elected chair who is a member of one of the partner agencies. The chair position will be reviewed annually.
- 11.2 Standard business meetings will be bi-monthly and scheduled to the most effective date in support of the SAB Business Implementation Group meeting. There will be an additional end of year meeting to summarise and identify key issues and themes.
- 11.3 Meetings will be deemed quorate when at least three agencies/organisations are present not including staff employed by the Safeguarding Adults Board.
- 11.4 Administration for the meeting will be supplied by the Safeguarding Adults Board support staff. Each meeting will have an agenda and minutes of the meeting produced and circulated following the meeting.
- 11.5 Actions coming from meetings will be captured within an 'Action Table' and completion monitored in subsequent meetings. Actions will only be closed from the table with the approval of the AA Sub Group.

## **12 Information Sharing**

- 12.1 The appropriate exchange of information is essential to deliver effective and efficient services for our citizens, to meet their needs and ensure their welfare and protection. However there is a balance between the need to share sufficient information to deliver effective services, and preserving the privacy of the individual.
- 12.2 Members must at all times use the information shared for the purposes of the meeting only and for no other purpose.
- 12.3 The principles of the Data Protection Act, the Tier 1 Humber Information Sharing Charter and the East Riding Tier 2 Information Sharing Agreement must be followed.

### **13. Review**

- 13.1 These Terms of Reference will be reviewed every two years, or sooner at the direction of the members of the group.

### **14. Review and Amendment Process.**

- 14.1 Before being adopted, any proposed amendment to these Terms of Reference must:
  - 14.2 Be circulated to all members of the AA subgroup for consultation and comment at least 5 days prior to consideration at a regular meeting of the group.
  - 14.4 Secure the approval of the majority of those present at a quorate Audit and Assurance sub group.
  - 14.5 Be approved by the Business Implementation Group.



Appendix 1

**Safeguarding Adults Audit and Assurance sub-group Members (as at 9<sup>th</sup> Nov 2016)**

<b>Members</b>	
East Riding of Yorkshire Council Adult Services SAT Manager	Kim Brown
Humberside Police Detective Inspector	Nick Ram
East Riding Clinical Commissioning Group (CCG) Named Dr for Adult Safeguarding	Dr Elisabeth Alton (Chair)
Hull & East Yorkshire Hospitals NHS Trust Safeguarding Adults Specialist	Janet Page
Humber NHS Foundation Trust Named Nurse for Adult Safeguarding Specialist Safeguarding Practitioner	Wendy Proctor Debbie Johnson
North Lincolnshire & Goole NHS Trust Named Nurse Safeguarding Adults	Michael Griffiths
York NHS Foundation Trust Lead Nurse for Safeguarding Adults	Nicola Cowley
Safeguarding Adults Board Member Policy and Procedure Development Officer	Marie Chappell
Safeguarding Adults Board Training Coordinator	Jackie Hutchinson