

Internal Audit
Archwiliad Mewnol

Community Services
**Adult Safeguarding Referral
Process**
Draft Report 2018/19

*Gwneud gwell defnydd
o adnoddau*



*Making better use of
resources*

INTRODUCTION

1.1 Background

When a safeguarding referral is made to a Local Authority it has a legal duty to make enquiries and adequately protect and investigate in cases where abuse or neglect has occurred or there is a risk thereof. The purpose of a safeguarding enquiry is for the Local Authority to clarify matters and decide what course of action, if any, is required in order to protect the adult in question from abuse and, or, neglect.

1.2 Objectives

To ensure that the Authority has relevant policies and procedures and complies with relevant Legislation. Audit testing will be undertaken on a sample basis on the areas defined in the Scope.

1.3 Scope

To ensure that:

- there are adequate, documented, procedures in place;
- the approved 'enquiry process' is adhered to and that the enquiry process complies with the Social Services and Well-being (Wales) Act 2014.

1.4 Audit Resources

The audit was undertaken by:

Cath Searle, BSc (Hons) Senior Auditor

1.5 Methodology

The audit involved:

- Interviews with the relevant officers;
- Examining relevant documentation, including statutory regulations and any procedural guidance;
- Evaluation of the adequacy of the controls;
- Reporting to management making recommendations where appropriate.

1.6 Audit Committee

Key recommendations emanating from Internal Audit reviews, along with individual assurance ratings for each system reviewed, will be referred to the Authority's Audit Committee on a 'for information' basis.

2 **General Opinion**

The audit review confirmed that, from the sample of cases tested, there were good procedures in place with many expected key controls having been established and operating to an appropriate standard. A new safeguarding enquiry process has been developed over the last 12 months which, from the results of the audit testing, is working very well.

The decision to place the Duty Officer in Delta Wellbeing has proven to work well. During the audit it was evident that there is regular dialogue between the Duty Officer and other Social Care Professionals / Careline Agents which assists the Duty Officer in the enquiry / determination role.

All the cases reviewed had sufficient detail on CareFirst to substantiate the determinations made. All but 1 of the sample were determined within the approved 7 days. The 1 that wasn't was because of the requirement of an interpreter. This was appropriately recorded, as required by the Social Services and Well-being (Wales) Act 2014.

Some issues were identified, which need addressing before an overall positive evaluation can be assigned. The specific issues arising from the review together with the recommendations are summarised in section 2.1.

The post review assurance level for the process is considered:

Assurance Level	Description for Assurance Level
High	Good controls consistently applied Low Risk of not meeting objectives Low Risk of fraud, negligence, loss, damage to reputation

2.1 Summary of Issues and Recommendations

Priority 1 *** Fundamental Control Issues to be addressed as a High Priority,
 Priority 2 ** Control Issues required to strengthen existing procedures,
 Priority 3 * Minor issues

	Summary of Issues	Recommendations	Rating	Comments/ Agreed Action	Officer Responsible	Target Date
1	<p>A comprehensive 'Safeguarding Enquiry Process Map' has been developed. There are, however, a few anomalies on the map as detailed below:</p> <ul style="list-style-type: none"> • The CareFirst system details 7 Determinations. The process map only details 6. Adult at Risk – No further action is not detailed on the map; • The map indicates that one of the referral methods goes through the complete safeguarding enquiry process when it would actually sit better going straight to Determination 6; • There is currently no formal review of the Duty Officers' enquiries / determinations. Whilst it is acknowledged that 	<p>The Safeguarding Enquiry Process Map should be reviewed and updated.</p> <p>Ad hoc, sample reviews of enquiries / determinations should be undertaken. The reviews should be</p>	*	<p>Agreed. The Process Map will be updated as required.</p> <p>A random sample of 6 enquiries, per month, will be reviewed. The reviews will be evidenced.</p>	C Richards	Immediate

	Summary of Issues	Recommendations	Rating	Comments/ Agreed Action	Officer Responsible	Target Date
	the Duty Officer works closely with colleagues in the safeguarding enquiry process it would be advisable to have ad hoc, sample checks in order to ensure consistency and to safeguard the Duty Officer in their professional capacity.	documented.				
2	In relation to Local Authority Professional Concern cases there is currently no formal timescale in which to advise the People Management and Performance Division of the concern in order for them to input the appropriate Safeguarding flag on Resource Link.	A formal timescale to advise the People Management and Performance Division of Professional Concerns should be introduced.	*	The All Wales Policy is currently being re-written. The Senior Safeguarding Manager will ensure timescales will be included. A local policy will also be devised to introduce formal timescales.	C Richards	May 2019