

# GUIDELINES ON THE DEVELOPMENT OF POLICIES, PROCEDURES AND PROTOCOLS

Cwm Taf Morgannwg Safeguarding Board	Date: November 2020	Status: Approved June 2021
Author/Lead: N Kingham	Previous Version: na	Review Date: June 2023

## **1. INTRODUCTION**

This document outlines the process for development, consultation, approval, dissemination, and review of National and CTMSB Policies, Procedures and Protocols.

## **2. AIMS AND OBJECTIVES**

### **THE PURPOSE OF THIS POLICY IS TO ENSURE THAT:**

All written key documents comply in terms of their format and content.

There are systems in place for:

- Maintenance of a comprehensive index of all key documents
- Systems for consultation and approval of CTMSB documents
- Comprehensive arrangements for dissemination of CTMSB policies, procedures, protocols, and guidelines across partner agencies
- Systems for review of such documents within an appropriate timescale
- Systems for consultations and approval of national documents.

## **3. DEFINITIONS**

### **STRATEGY**

Is a time-based plan designed to achieve particular goals or objectives which are supported by policies and/or procedures.

### **POLICY**

A written statement of intent, setting out the way in which an issue is to be managed by the Board. They are underpinned with evidence based procedures and guidelines and are mandatory, binding staff to follow them.

### **PROCEDURE**

Set out a series of actions which, when taken in a required order, will achieve a desired outcome. Procedures set out the operational processes to be followed to meet the objectives of the policy. They must include reference to any researched evidence used. E.g. Wales Safeguarding Procedures.

## **PROTOCOLS (ALSO REFERRED TO AS GUIDANCE)**

Provide step by step guidance. Within a protocol it must be clear by whose authority it is being implemented and what the scope of the protocol is. If work is completed outside the boundaries of the protocol clear reasons will need to be documented including what authorisation was obtained.

## **4. DEVELOPMENT OF CWM TAF MORGANNWG SAFEGUARDING BOARD DOCUMENTS**

The need to develop new CTMSB Policies, Procedures and Protocols may emanate from a number of sources including:-

- Child/Adult Practice Reviews
- HM Government and Welsh Government Legislation and Statutory Guidance
- Wales Safeguarding Procedures
- Regional and National Priorities.

All policies will be subject to an Equality Impact Assessment. (see Appendix 2)

The language used within a document should be simple and available in both English and Welsh. Public facing documents should be made available in other languages and formats on request, along with easy read versions where appropriate. Technical terms should be avoided wherever possible but if technical terms are necessary, they must be explained using a glossary / footnote.

In accordance with the requirements of Data Protection legislation, names of individual staff must not be contained within key documents. Individuals with particular responsibilities can be identified by their job title only.

All CTMSB documents must comply with current legislation, national and professional procedures and guidance. Policies must be based on sound evidence and be appropriately referenced.

A lead will be identified from the membership of the PPG Sub Group to form a Task and Finish Group to develop / review / consult on relevant documents. Individual agencies need to identify those who need to take part in the development/consultation.

All documents developed must:

- Be font Arial type size 12 with headings in bold
- Be page numbered
- Be dated
- Include the CTMSB Logo on the front page
- Include details of the lead for the document - working group / post title
- Be version controlled
- Include a date for review
- Be converted to PDF when endorsed

The Headings within the document may include the following:

- Introduction - background of document, why required
- Key Legislation and / or Statutory Guidance
- Definitions / Glossary
- Aims and Objectives - Who is it for? What will be the impact
- Roles and Responsibilities
- Equalities Impact Assessment - equality
- References, including the original document source, where appropriate

The completed draft document will be presented to the PPG for consideration and approval.

All new or significantly revised key documents must be developed in consultation with the relevant target audience involving appropriate managerial, professional, clinical and staff representation as necessary. The period of consultation must be adequate to allow robust consultation. The timeframe for completion will be agreed in advance.

Consideration should be given to consulting with service users and carers if the document is public-facing.

The Task and Finish Group will collate and consider any feedback from the consultation and develop a final draft version.

The final draft version will be considered and agreed by the PPG.

The document will then be presented by the Chair of PPG to the Joint Operational Committee for approval.

The document will then be presented to the CTMSB for endorsement.

Following endorsement, the CTMSB Communications and Engagement Officer will complete a dissemination plan (see Appendix 1). The document will be disseminated across all relevant agencies. Individual agencies will have responsibility for dissemination in accordance with the dissemination plan and report back to PPG that this has been done.

## **5. EVALUATION OF CWM TAF MORGANNWG SAFEGUARDING BOARD DOCUMENTS**

Following publication, the PPG database will be updated and an evaluation date agreed. This will usually take place around 12 months following publication.

The evaluation form to be used is attached as Appendix 3.

Feedback from the evaluation process will inform the future review of the document.

## **6. CONSULTATION AND RATIFICATION OF NATIONAL DOCUMENTS**

The CTMSB PPG will be responsible for responding to consultations on behalf of the CTMSB and recommending national documents for ratification by the CTMSB.

Examples of national documents include:

- Wales Safeguarding Procedures and Practice Guidance
- Welsh Government Statutory Guidance
- Information.

### **6.2 CONSULTATION PROCESS FOR NATIONAL DOCUMENTS**

Relevant National documents which have been circulated for consultation will be considered by the CTMSB. The Business Unit will lead on the process of consulting with partner agencies and collating responses.

The CTMSB Business Manager will be responsible for sending a response on behalf of the Board and report back to PPG on the outcome.

### **6.3 RATIFICATION OR ENDORSEMENT OF NATIONAL DOCUMENTS**

The CTMSB will be responsible for ratifying, endorsing or adopting national documents.

**APPENDIX 1**

**CTMSB DISSEMINATION PLAN**

A multi-agency plan proposing how the endorsed document should be disseminated and the actions required.

**Title of Policy or Procedure and Guidance Document:**

**Date endorsed by Board:**

**DISSEMINATION PLAN**

<b>METHOD</b>	<b>AGENCY</b>	<b>TARGET DATE</b>	<b>RESPONSIBLE OFFICER</b>	<b>COMPLETED</b>

**TRAINING OR AWARENESS REQUIRED:**

<b>Method</b>	<b>Proposed Date</b>	<b>Responsible Officer</b>	<b>Completed</b>

**DOCUMENT OR INFORMATION FOR MEMBERS OF THE PUBLIC REQUIRED?**

<b>Method</b>	<b>Proposed Date</b>	<b>Responsible Officer</b>	<b>Completed</b>

## APPENDIX 2 - EQUALITIES IMPACT ASSESSMENT

<b>WHAT IS BEING ASSESSED FOR IMPACT?</b>
<b>BRIEF DESCRIPTION</b>
<b>IS THE DELIVERY OF THIS INITIATIVE AFFECTED BY LEGISLATION OR OTHER DRIVERS SUCH AS CODES OF PRACTICE?</b>
If so, please identify what and how?

**DOES THE INITIATIVE DIRECTLY AFFECT SERVICE USERS, EMPLOYEES OR THE WIDER COMMUNITY?**

Yes..... Continue assessment

No ..... No need to continue screening or carry out an EQIA

<b>SCREENING/RELEVANCE TEST: IS AN EQUALITY IMPACT ASSESSMENT REQUIRED?</b>	
What will be the effect on?	
<i>PROTECTED CHARACTERISTIC</i>	<i>IMPACT</i>
Age	
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy and Maternity	
Race	
Religion or Belief	
Sex	
Sexual orientation	
Welsh Language	
Carers	

**If after completing the EIA screening/relevance test you determine that this initiative is not relevant for an EIA you must provide adequate explanation below**



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I can confirm that I have identified sufficient evidence to justify my decision  
Signed: \_\_\_\_\_ Agency: \_\_\_\_\_

**Please note: If the initial screening process has identified actual or potential high or medium negative impact on a particular group or groups then you MUST carry out a full EqlA.**

**FULL EQUALITIES IMPACT ASSESSMENT**

<b>In terms of any disproportionate / negative / adverse impact that the proposal may have on a protected group, what steps (if any) could be taken to reduce that impact for each group identified? Attach a separate action plan if necessary.</b>
<b>If ways of reducing the impact have been identified but are not possible, please explain why they are not possible.</b>
<b>EVIDENCE SOURCES</b>
<b>(i) Give details of any data or research that has led to your reasoning above, in particular, the sources used for establishing the demographics of service users.</b>
<b>(ii) Give details of how you have engaged with service users on the proposals and steps to avoid any disproportionate impact on a protected group and how you have used any feedback to influence your decision.</b>
<b>DECISION LOG - Please detail how Elected/Board Members and Senior Managers have been involved in the decision process (give dates of key meetings and decisions made)</b>

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<b>REVIEW DATE:</b>	
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<b>IF REVIEW IS NOT REQUIRED PLEASE EXPLAIN WHY:</b>
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<b>COMPLETED BY:</b>		<b>DATE:</b>	
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<b>APPROVED BY:</b>		<b>DATE:</b>	
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**Please return a copy to:**

Nicola Kingham, Cwm Taf Morgannwg Safeguarding Board Business Manager  
Ty Catrin  
Maritime Industrial Estate  
Pontypridd  
CF37 1NY

**APPENDIX 3 – CTMSB PROTOCOLS, POLICIES AND GUIDANCE  
STAFF EVALUATION FORM**

<b>NAME OF DOCUMENT:</b>	
<b>DATE CIRCULATED:</b>	
<b>NAME OF PERSON(S) COMPLETING THIS FORM (optional):</b>	
<b>AGENCY/DEPARTMENT:</b>	
<b>DATE:</b>	

**1. Are you aware of this document? Yes / No**

**If no, please provide suggestions as to how we can improve our communications with staff? PLEASE RETURN QUESTIONNAIRE.**

**If yes, how were you made aware of the document?**

**2. Have you used the document to support you in your work? Yes / No**

**If yes, how useful is the document?**

*Very useful* 5 4 3 2 1 *Not useful at all*

**Please provide comments on the reasons for your answer and if there are any aspects requiring improvement/further development?**