

DUNDEE CITY COUNCIL

REPORT TO: POLICY AND RESOURCES COMMITTEE - 12TH MARCH 2012

REPORT ON: DEVELOPMENTS IN ADULT SUPPORT AND PROTECTION IN THE E CITY OF DUNDEE: YEAR 3

REPORT BY: DIRECTOR OF SOCIAL WORK

REPORT NO: 101 - 2012

1.0 PURPOSE OF REPORT

To describe the developments in Year 3 of the City of Dundee Adult Support and Protection Committee (ASPC) since the first biennial report to the Scottish Government in October 2010 and developments in the national policy context.

2.0 RECOMMENDATIONS

It is recommended that the Policy and Resources Committee consider this report and note the progress made in relation to the recommendations highlighted in the biennial report.

3.0 FINANCIAL IMPLICATIONS

None.

4.0 MAIN TEXT

During the period October 2010 to September 2011 the Dundee Adult Support and Protection Committee (ASPC) has met six times. The work of the Committee is supported and informed by four task groups: Self Evaluation, Learning & Workforce Development, Policy Practice and Procedures, and Communication. Recommendation 2 of the first biennial report was for a formal process of review of the business and strategy plan to be put in place ensuring all areas are considered in the course of a year. To implement this recommendation, all four task groups meet on a regular basis and report in detail on a rotational basis to the ASPC, while an overview of all task group activity is presented to every meeting.

The main activities undertaken by the Committee over this period include:

4.1 ASP activity and development of the ASP data set

The Committee has been kept informed of ASP activity in Dundee. An increasing trend in referrals has been noted however fourth year data will show whether, as appears, this trend may be flattening out.

A dataset is being developed and refined to ensure more detail and focus on ASP processes and outcomes. A short-term working group has been established to undertake this work with the intention of developing an approach that will present a clear picture of Dundee's ASP activity in future reports.

Work is on-going to develop an outcomes framework that will be co-ordinated with data on ASP activity and the process of self evaluation that is underway.

4.2 Meeting service- related risks

The Committee has considered a wide range of threats to individuals at risk of harm that have come to the Committee's attention through national developments, notably problems

in continued residential provision by Southern Cross Healthcare Group Plc. and significant abuse concerns in Castlebeck Care (Teesdale) Ltd. facilities.

At the request of the ASPC a report was prepared by Laura Bannerman, Lead Officer, Adult Support and Protection, which advised of the consequences for the citizens of Dundee of financial challenges being experienced by Southern Cross Health Care Group (SCH). The Committee satisfied itself that measures were in place to ensure that residents were protected and suitable contingency planning was in place. The Committee was kept updated as the situation developed. A report on concerns regarding Southern Cross was presented to the Chief Officers Group.

Further concerns were raised following the BBC Panorama programme exposing serious abuse of residents with intellectual disabilities in Winterbourne View Hospital, Bristol. The provider, Castlebeck Care, also has two facilities in Dundee. A report was prepared by Arlene Mitchell, Service Manager, Learning Disability Service, on measures taken to ensure the safety of residents in Castlebeck facilities in the city. Inspections were also conducted by the Social Care and Social Work Improvement Scotland (SCSWIS).

4.3 Development of collaborative interagency working with NHS Tayside

Recommendation 5 of the first biennial report to the Scottish Government indicated the need to develop a closer involvement of NHS Tayside in the framework of ASP in Dundee. A meeting was held between Tayside ASP convenors and representatives of NHS Tayside responsible for patient protection issues in June 2011. The purpose of the meeting was to share information on respective adult support and protection (ASP) activity and help identify how the robustness of NHS Tayside's contribution could be enhanced. NHS Tayside acknowledged that there was a need for more dedicated time in order to achieve this and sought comment from the Independent Convenors on their expectations of NHS Tayside. The convenors accepted the need for time to undertake this work and a meeting in November 2011 to progress these issues was agreed. (At the time of writing a provisional date for the follow up meeting has been set but not confirmed).

4.4 Significant Case Reviews and Practice Reviews

A Significant Case Review operating procedure has been developed, though as yet no SCRs have been undertaken. A Practice Review procedure has also been prepared.

4.5 Reviewing National developments

A wide range of national developments in legislation, policy and guidance has been presented to the Committee and reviewed. These include the *Protection of Vulnerable Groups (Scotland) Act 2007* implemented in February 2011, consultation on GPs' involvement in adults support and protection cases, and the on-going review of relevant Mental Welfare Commission reports. Reports are provided to the Committee on all such developments.

4.6 Domestic violence and human trafficking

Reports on issues of concern in relation to domestic violence and human trafficking are presented and discussed at all committee meetings. Both local and national developments are reviewed and their relation to adult support and protection activity as defined under the *Adult Support & Protection (Scotland) Act 2007* considered.

4.7 Involvement in public protection initiative

The ASP Committee has collaborated in the development of a co-ordinated communication strategy for the public protection initiative undertaken by the Chief Officers Group. Its strategic plans have also been integrated into the wider public protection business plan.

4.8 Tayside wide Adult Protection Forum

The Lead Officer and Independent Convenor have continued to attend the Tayside wide forum encouraging joint activity between the three Tayside areas in order ensure

convergence of practice and consistency. Progress has been made in some areas, though this has not invariably been the case.

4.9 **Work of Task Groups**

4.9.1 **Policy, Procedures and Practice Task Group:**

The remit of this group is to:

1. to ensure that inter-agency procedures vital to the support and protection of adults are developed and maintained
2. regularly develop, disseminate and review inter-agency policies and procedures
3. ensure that protocols are developed around key issues where there is agreement that they are required

Progress: Activity with respect to the principal objectives is on track with revision of operating procedures undertaken in the light of feedback on adult support and protection activity while practice issues are being reviewed. With respect to Recommendation 1 of the biennial report which is concerned with the involvement of the voluntary sector and other non-statutory stakeholders, meetings have taken place and are on-going with relevant groups. The outcome of this activity has, however, to be finalised and realised in terms of a formal structure feeding into the ASPC. Recommendation 3 which deals with the involvement of independent advocates in adult protection cases has also been progressed but again awaits concrete outcomes that influence practice. Recommendation 4 concerns the development of a coherent approach to risk assessment. This is again being progressed in this case in collaboration with Perth & Kinross ASP colleagues. Within the time scale envisaged (October 2010-September 2012) the work of the task group is on track with identifiable outcomes anticipated in the first part of 2012.

4.9.2 **Self Evaluation Task Group:**

The remit of this group is to:

1. evaluate strengths and areas for improvement in the area of self-evaluation at individual and service levels
2. identify strengths and areas for improvement in the area of self-evaluation at joint working level
3. establish a systematic approach to evaluating the impact of joint working arrangements in protecting adults at risk
4. develop processes to gather, collate and analyse findings on joint agency adult protection issues
5. identify appropriate mechanisms to enable timeous and accurate reports on impact of joint agency working in the field of adult protection

Progress: In line with Recommendation 7 of the biennial report, work has been progressed on self evaluation of ASP activity. An outcome framework for ASP has been developed, establishing what should be recorded, how to evidence outcomes and how to measure impact. At the request of convenors and lead officers, a Tayside wide group has been developed to consider outcomes and datasets. (This is being undertaken with Perth & Kinross Council as Angus Council have withdrawn.) A final draft of the outcomes framework is pending. This framework will also be developed to be consistent with the national dataset/outcome framework.

An ongoing audit of minutes of initial referral discussion meetings and case conferences is being undertaken and reported to the self evaluation task group. A case file audit of three ASP cases has been conducted. A report is being prepared for the ASPC as well as a comprehensive plan of self evaluation for the coming year.

An approach to assessing the views of service users, family members and carers has been developed in interviews to establish satisfaction with ASP interventions.

Focus groups are also being conducted to evaluate the effectiveness of risk assessment and documentation in line with the biennial report Recommendation 4, complementing the work of the Policy, Procedures and Practice Task Group

4.9.3 **Learning & Workforce Task Group:**

The remit of this group is to:

1. ensure that all staff are aware of what is expected of them in relation to protecting adults at risk
2. advise multi-agency staff where to obtain specialist support and advice in relation to adult protection
3. maintain links with the other three task groups responsible for the production of policies and reviewing practice implications which inform learning and workforce development priorities
4. ensure that training and development needs are identified and appropriate measures are put in place to meet these needs
5. implement the inter-agency Learning and Workforce Development Strategy of the ASPC
6. ensure that examples of good practice and recommendations for changes in practice arising from care reviews are incorporated into future training programmes and reported to the ASPC

Progress: Learning and development opportunities have continued to be provided to a wide range of staff and agencies. The training initiatives have been delivered in the Scottish Government National Training framework and where appropriate have involved interagency delivery. Recommendation 6 requires the development of “A comprehensive and integrated description of education and training activity across the principal agencies should be prepared, providing information on course content and trainees’ characteristics as well as information on the impact of the training on adult support and protection effectiveness.” The task group’s summary of work undertaken to date goes some way towards this aim and will be developed into a statement in line with the recommendation.

4.9.4 **Communication Task Group**

The remit of this group is to:

1. raise public awareness of adults in need of support and protection within communities
2. promote the work of all agencies in the protection of adults in need of support and protection
3. provide information on where the public should go if they have a concern about an adult who may be in need of support and protection

Progress: The Communication Task Group has disseminated information on adult support and protection to a wide range of community groups and stakeholders through a variety of media including newsletters, presentations, drama, radio and TV. In addition, the task group has worked jointly with partners in the public protection agenda to communicate with the general public. As yet the impact and influence of these initiatives have yet to be evaluated and the incorporation of such an objective into the action plan would be timely.

4.10 **Conclusion**

The Dundee ASP Committee during its third year of activity has successfully encouraged necessary developments in policy and practice in the city with respect to adult support and protection. Gaps that inevitably exist in a relatively new field of work have been addressed and the Committee is appreciative of the work of the task groups. The expectation is that by the time of the second biennial report the areas of development noted have been completed. In particular, a comprehensive approach to the evaluation of ASP activity in the city must have been completed and be operative.

5.0 POLICY IMPLICATIONS

- 5.1 This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues.
- 5.2 An Equality Impact Assessment has been carried out and will be made available on the Council Website <http://www.dundee.gov.uk/equanddiv/equimpact/>

6.0 CONSULTATIONS

The Chief Executive, Depute Chief Executive (Support Services) and Director of Finance have been consulted in preparation of this report.

7.0 BACKGROUND PAPERS

- 7.1 Recommendations in the Independent Convenors First Biennial Report to the Scottish Government 9th October 2010 Appendix 1
- 7.2 Equality Impact Assessment

Alan G Baird
Director of Social Work

DATE: 1st March 2012

Appendix 1

Recommendations in the Independent Convenor's First Biennial Report to the Scottish Government (October 2010)

Recommendations in the Independent Convenor's First Biennial Report to the Scottish Government (October 2010)

Recommendation 1: The Committee should review the way in which its activities can best be informed by relevant voluntary sector agencies and other non-statutory stakeholders who may be at-risk of harm or who represent those at-risk of harm. The issue of representation on the Committee and relevant Task Groups should be reviewed and an explicit policy developed.

Aim: To ensure that those with a legitimate concern in issues to do with safeguarding adults at-risk of harm in Dundee contribute effectively to the protection of such adults in the city by informing the work of the Committee and relevant agencies.

Action: The Committee to request the Policies, Practice and Procedures Task Group to review how best a valid and informed input by stakeholders to the Committee's work can be achieved, and develop a strategy to consult with existing representatives on the Committee and relevant stakeholders in the community.

Recommendation 2: A formal process of review of the business and strategy plan should be put in place by the Committee ensuring that all areas are considered in the course of one year.

Aim: To enable formative evaluation of the effectiveness of the strategy as relevant information from evaluation initiatives are undertaken and the experience of practitioners across the agencies is provided to the Committee.

Action: The Committee itself should put this process into place, delegating to Task Groups where relevant.

Recommendation 3: A clear policy on the involvement of independent advocates in adult support and protection cases should be developed and the resource implications of implementing the policy determined.

Aim: To ensure that where the individual who has allegedly been harmed or the alleged perpetrator lacks support from family or friends, such support is forthcoming during and after the case has been dealt with.

Action: The Policies, Practice and Procedures Task Group should review the position with respect to the situations in which independent advocacy would be essential to the support of alleged victims and perpetrators and determine both the resource and training implications.

Recommendation 4: An approach to risk assessment should be developed that is consistent with the process elsewhere in the Social Work Department and in partner agencies.

Aim: To ensure that where an adult is at-risk of harm assessment of that risk is consistent, reliable and valid enabling the person to be safeguarded more effectively.

Action: The Policies, Practice and Procedures Task Group continue its review of risk assessment procedures and develop procedural guidance that takes account of the Social Work Department's own recommendations and which links to the *Multi-Agency Procedural Guidelines*.

Recommendation 5: A working group should be formed with key NHS Tayside representatives and cross-agency representation of the Committee to agree effective ways of ensuring that the Committee's work is widely communicated within the NHS and that the Committee's work is informed by developments in patient safeguarding within the health service.

Aim: To enhance collaborative working between NHS Tayside and adult support and protection policy and activity in Dundee including the work of the Committee in order to optimise the safeguarding of individuals at-risk of harm whether as patients or clients.

Action: Relevant management in NHS Tayside to meet with and work with the Independent Convenor and committee representatives, specifically of the local authority, police and the Dundee Violence Against Women Partnership.

A preliminary meeting was held in June 2011 between relevant representatives of NHS Tayside and the Dundee and Angus independent convenors.

Recommendation 6: A comprehensive and integrated description of education and training activity across the principal agencies should be prepared, providing information on course content and trainees' characteristics as well as information on the impact of the training on adult support and protection effectiveness.

Aim: To identify areas of content and trainee characteristics in which further input is required and determine whether processes have been put in place to evaluate the impact of training.

Action: The integration of information should be undertaken by the Learning & Workforce Development Task Group, or a sub-group of this Task Group representing the relevant agencies.

Recommendation 7: The Committee working through the Self-evaluation Task Group should continue to develop a comprehensive evaluative strategy that covers key quality indicators relevant to increasing the safety of the adults at-risk, outcomes as judged by stakeholders, the effectiveness and efficiency of service delivery, the quality of policy and its development, employee support, and the adequacy of governance and leadership.

Aim: To ensure that all aspects of the work of the Committee and adult support and protection activity are subject to review and continuous improvement in order best to protect adults at-risk of harm in Dundee.

Action: The Committee to agree a brief for the Self-evaluation Task Group to develop a comprehensive evaluative strategy and ensure its integration into the business and strategy plan.

The Self Evaluation Task Group has developed a remit for its work and an action plan which also is integrated into the wider ASP strategy framework. This work has been initiated on a Tayside-wide basis principally with Perth & Kinross Council following the withdrawal of Angus council colleague. A draft framework will be available December 2011.

An on-going audit of minutes of initial referral discussions (IRDs) and case conferences is being conducted with findings reported to the Self Evaluation Task Group. A case file audit of three adult protection cases has been completed. A report is being prepared for the Adult Support & Protection Committee together with a comprehensive plan for further self evaluation in the coming year.

A sub-group of this task group has developed a focused conversation format to be used with service users, family members and carers..