

City of Dundee Adult Support & Protection Committee

Independent Convenor's Biennial Report to the Scottish Government 2010



This report has been prepared to meet the requirement set out in Section 46 of the *Adult Support and Protection (Scotland) Act 2007*

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Independent Convenor**

October 2010

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As Independent Convenor of the *City of Dundee Adult Support and Protection Committee*, I would like to express my gratitude to all colleagues in all the agencies involved in this enterprise to ensure that adults at-risk of harm in the city are fully supported and protected. Their commitment, thoughtfulness and hard work have been highly impressive, and my role would be a very difficult one without their input. However, the use I have made of their material and the judgements arrived at are entirely my responsibility.

Professor James Hogg
Independent Convenor
City of Dundee Adult Support and Protection Committee

October 2010



Summary

This is the first biennial report of the Independent Convenor of the *City of Dundee Adult Support & Protection Committee* ('the committee'). The committee was established in July 2008 by Dundee City Council in compliance with *Adult Support and Protection (Scotland) Act 2007* ('the Act'). The committee has operated since October 2008 with full representation of the agencies required by the Act and additional representation of stakeholders from the voluntary sector. Governance arrangements have been prepared and a comprehensive business and strategy plan developed. Operationally *Multi-Agency Procedural Guidance* was accepted by the committee in November 2009. The committee also contributes to the Tayside Wide Adult Protection Group ensuring that areas of common interest across Tayside are dealt with. Multi-agency Task Groups have been established by the committee to undertake work on its behalf, i.e. the *Policies, Practice and Procedures Task Group*; the *Self-Evaluation Task Group*; the *Communication Task Group*; and the *Learning & Workforce Development Task Group*.

Considerable effort has gone into raising public awareness across the city, with special attention to representatives of groups in which a number of individuals are considered at-risk of harm, e.g. older people. The first steps have been taken to develop educational initiatives in Dundee schools. Training and staff development have been extensive and have been provided by the Council, NHS and the Tayside Police. The training extends from induction and throughout the Scottish Government adult support and protection training framework.

There is clear evidence of good quality inter-agency collaboration with respect to adult support and protection, though the report indicates necessary areas of improvement and progress towards this. The work of the committee extends to the development of a public protection strategy in the wider context of the Dundee *Protecting People* agenda through joint working between the Adult Support and Protection Committee, the Children and Young Persons Protection Committee, the Domestic Violence Against Women Partnership and the Multi Agency Public Protection Arrangements (MAPPA) Strategic Oversight Group.

Details of adult protection activity are reported, while the pathways through which support and protection were provided are detailed. Of the 195 referred cases 75 went to ASP Procedures. 56 cases were resolved at the Initial Referral Discussion stage. The remaining 19 progressed to Adult Support & Protection Case Conferences. The largest age group referred was of people over 65 years, with financial and physical harm being the two main types of mistreatment across all groups. Older people and those with learning disabilities were the largest groups subject to alleged or actual harm. Harm was predominantly caused by the person's spouse or partner, a family member or friend. The main location in which harm was perpetrated was in the person's own home or in the community.

Preliminary self-evaluation of cases indicated a good level of success in support and protection, though areas in which improvement is called for are also described. Two banning orders under the Act have been obtained leading to significant improvement

in the lives of the two women protected. In particular the low level of independent advocacy in adult protection cases is noted as a significant concern. A city-wide evaluation of risk to adults is being undertaken, and progress is being made to establish a formal risk assessment procedure consistent with wider risk assessment approaches employed by the Social Work Department.

Following an overview of the work of the committee and the Adult Support & Protection Service, seven recommendations for development are made with respect to (1) improving the representation of stakeholders in adult support and protection activity; (2) evaluation and monitoring of strategic progress; (3) development of independent advocacy; (4) development of risk assessment procedures; (5) development of clear operational structures between the work of the committee and NHS Tayside; (6) the integration of information on education, training and staff development with respect to adult protection; (7) the development of a comprehensive evaluation strategy to determine the effectiveness of adult support and protection work in the city.

It is concluded that the structures and procedures considered necessary to support and protect adults at-risk of harm in Dundee are complex and diverse. This state of affairs reflects the challenging nature of adult protection, and the complexity involved in the situations in which harm occurs or is perpetrated. The principal aim for the future must be to continue to enhance the integrated nature of our response to both preventing harm and dealing with allegations of harm, and its consequences. Though presented separately in this report, all areas discussed are closely linked, e.g. the education and training of staff - and their response to allegations of harm; supporting individuals at-risk of harm and their carers - and facilitating advocacy; the organisation of the committee itself - and hearing the voice of other stakeholders. Future work will focus on on-going improvement of all aspects of the service through monitoring and responding to feedback, as well as taking forward specific aspects of development covered in the recommendations.

The hope is expressed that in the second biennial report due in 2012, coherence and effectiveness of the work will be apparent as the result of sustained and sophisticated evaluation, both formative and summative, i.e. through on-going improvement and demonstration of positive outcomes. Ultimately the acid test of our work is to be able to show that citizens at-risk of harm in Dundee both *feel* safer and *are* safer.



1. Introduction and context

1.1. Establishing the committee

In response to serious shortcomings in the protection and safeguarding of adults at-risk of harm in Scotland, the Scottish Government enacted the *Adult Support and Protection (Scotland) Act 2007* ('the Act'), implemented in October 2008. Sections 42 to 47 of the Act also created an obligation on councils to establish multi-agency Adult Protection Committees and cover issues of membership, procedures, information sharing and reporting. The principles underpinning the Act and the definition of who is at-risk and what constitutes harm are presented in **Appendix I**. The obligations, membership, procedures and issues to do with information sharing and reporting are presented in **Appendix II**.

The Act and its provisions were welcomed in Dundee, and in April 2007 the Director of Social Work recommended to the Dundee City Council (DCC) Policy and Resources Committee that in response to the legislation, an Adult Protection Committee be established. The recommendation was accepted (16 April 2007) and the process of establishing the committee begun in July 2008. At the first meeting of the committee (October 2008) it was agreed that in the light of the legislation the committee would be designated the "*Adult Support and Protection Committee*" ('the committee').

1.2. Membership

In accordance with the recommendations, the Dundee City Council (DCC) Policy and Resources Committee was subsequently advised that following advertising for the post, Professor James Hogg had been appointed Independent Convenor of the Adult Protection Committee. (In line with the Act, the committee subsequently amended the title to the Adult Support and Protection Committee.)

At the end of year 2 of the committee's operation membership consists of representatives of the required statutory agencies together with community representatives of some of the groups in which individuals at-risk of harm will be found. Figure 1 shows composition of the committee.

Figure 1: Membership of the Adult Support and Protection Committee (September 2009).

Committee Member	Agency/Representation
Laura Bannerman	Head of Service, Community Care, Social Work Department
Gordon Birrell	Housing Strategy Manager, Housing Department
Lynne Cameron	Community Care, Social Work Department
Jan Goodall	Older People's Representative
Dr David Griffiths (as relevant)	Procurator Fiscal, Procurator Fiscal Office
Beth Hamilton	Head of Integrated Mental Health Services, Carseview Centre, NHS Tayside
Professor James Hogg	Independent Convener
John McDonald	Team Leader, Solicitor, Legal Division, DCC
Detective Chief Inspector Shaun McKillop	Tayside Police & Children and Young Person's Protection Committee
Jane Martin	Manager, Children's Services and Criminal Justice, Social Work Department
Arlene Mitchell	Community Care, Social Work Department
Carina Mitchell	Co-ordinator, Advocating Together/SAY Group
Kathryn Sharp	Dundee Violence Against Women Partnership
Andy Sloan	Team Manager, Dundee, Care Commission
Donna Sorrie	Advocating Together, Learning Disability Service Users Representative
Martin Tait	Tayside Fire & Rescue Service

The committee is supported by a Committee Services Officer, Support Services Department, DCC.

The Mental Welfare Commission, the Office of the Public Guardian and the Procurator Fiscal Office were all approached to nominate a committee member. All indicated that they were prepared to attend for specific agenda items if required. The procurator fiscal attended one meeting to describe the work of the office and its relation to adult protection procedures.

Discussions are on-going with the Princess Royal Carers Centre and Dundee Voluntary Action mental health groups with respect to representation respectively of family carers and mental health survivors on the committee.

With respect to such representation, there is an on-going discussion on the responsibilities of such members to their various constituencies and the ways in which true representation may be achieved (See Recommendation 1, Section 11.)

1.3. Frequency of meetings

The committee meets two monthly, with 12 meetings held during its first two years of operation.

1.4. Task Groups

Four Task Groups have been established to support the work of the committee:

1.4.1. Policies, Practice and Procedures Task Group

This Task Group has based its procedures on the model developed by the *Dundee Children and Young People Committee*. Membership is multi-agency consisting of representatives of the *Adult Support and Protection Committee*, the Dundee Social Work Department, NHS Tayside, Tayside Police, the voluntary sector, and key council departments, notably: Education, Housing, Leisure and Communities as well as the voluntary sector.

The remit of the Task Group is to:

- 1.4.1.1 identify those documents that come within the sphere of 'guiding staff in adult support and protection'. Different agencies refer to these documents by different titles, i.e. policies, procedures, protocols or guidance
- 1.4.1.2 promote the Tayside Multi-agency Protocol as the core document at the centre of adult protection activity, around which specialist single agency guidance has been developed
- 1.4.1.3 undertake a comprehensive review of existing multi-agency guidance with reference to the content of existing single agency documents. The aim is to encourage a move to a position whereby every agency considers multi-agency guidance as the prime document for all staff. This will then be supported by more specialist single-agency documents as required
- 1.4.1.4 be responsible for ensuring that reviews and updates of single agency documents across Tayside are communicated between agencies and consistency and compatibility maintained

1.4.1.5 ensure the meaningful engagement of staff in informing both the process of review and the content of documents

1.4.1.6 make recommendations on the local review of policies and procedures in the light of evolving government guidance

1.4.2 Self-Evaluation Task Group

A self-evaluation sub-group is in the course of being established to plan the self-evaluation of adult support and protection work on an interagency basis. The group will be required to meet regularly and will be chaired by the Adult Protection Lead Officer, supported by relevant adult protection staff. The group will have a representative of appropriate authority from all key agencies and will be accountable to the committee.

The role of the Task Group will be to develop and introduce a systematic multi-agency approach to self-evaluation across all adult support and protection work in Dundee. This will be achieved by:

1.4.2.1 evaluating strengths and areas for improvement in the area of self-evaluation at individual service level

1.4.2.2 identifying strengths and areas for improvement in the area of self-evaluation at joint working level

1.4.2.3 establishing a systematic approach to evaluating the impact of joint working arrangements in protecting adults at-risk

1.4.2.4 developing processes to gather, collate and analyse findings on adult protection issues

1.4.2.5 identifying appropriate mechanisms to enable timeous and accurate reports on impact of joint agency working in the field of adult protection

The timescale for self-evaluation will be included in the self-evaluation strategy plan currently being developed by the Senior Officer, Adult Support and Protection; the plan will include not only case file evaluations, but also quality assurance of Initial Referral Discussions, case conferences minutes, practice review group, feedback to staff and quarterly reporting to the directorate. Initiatives to assess public awareness of adult protection issues and the views of stakeholders, including service users and their families, are also planned.

1.4.3 Learning & Workforce Development Task Group

The purpose of the Learning and Workforce Development Task Group is to:

1.4.3.1 ensure that all staff are aware of what is expected of them in relation to protecting adults at-risk

- 1.4.3.2 advise multi-agency staff where to obtain specialist support and advice in relation to adult protection
- 1.4.3.3 maintain links with other task-groups responsible for the production of policies and reviewing practice implications which inform learning and workforce development priorities
- 1.4.3.4 ensure that training and development needs are identified and appropriate measures are put in place to meet these needs
- 1.4.3.5 implement the inter-agency Learning and Workforce Development Strategy of the committee
- 1.4.3.6 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 committee

1.4.4 Communication Task Group

Dundee Adult Support and Protection Committee is fully aware that the success of its work is dependent on creating wider awareness of the harm individuals suffer and encouraging citizens in Dundee to act when they have concerns that an adult is at-risk of harm. The objective is to create the kind of awareness that now exists in the area of child protection. To this end the committee has created a Communication Task Group which has designed a website informing people what to do in the event of concerns and providing contact 'phone numbers'.¹

Initially the work of the Task Group has been to reinforce the message of the Scottish Government's national *Act Against Harm Campaign*. Details of this campaign are available on the internet². This public awareness raising campaign was undertaken at approximately the same time as the national campaign, i.e. November-December 2009. The message was that all citizens in Dundee have responsibilities to individuals at-risk of harm, with a clear indication of the routes by which such concerns may be made known, and the responsibilities of statutory agencies. This campaign was launched at Discovery Point on 10 December 2009 and reported in the press. A poster campaign was then mounted and a range of associated materials (e.g. pens, cards etc.) produced. An Adult Support and Protection Committee logo has also been designed (see report cover).

In 2010 specific groups have been targeted for awareness raising and the provision of information. These target groups include:

- 1.4.4.1 providers of services to Dundee City Council including care home and other providers of accommodation and day opportunities. Four free, one day events are to be held

¹ <http://www.dundeecity.gov.uk/socialwork/protecting/>

² <http://www.infoscotland.com/actagainstharm/>

- 1.4.4.2 individuals who may be at-risk of harm, e.g. meetings with self-advocacy and survivor groups to discuss adult protection concerns
- 1.4.4.3 family carers with family members who may be at-risk of harm, whether living in the family home or in supported accommodation; this initiative is being developed in collaboration with carers' organisations in Dundee
- 1.4.4.4 school children/students: Planning has begun with the Educational Development Service and the School Community Support Service of Dundee City Council Education Department to embed adult protection issues in the relevant parts of the primary and secondary school curriculum. These initiatives will be co-ordinated with on-going input to schools concerned with both child protection and domestic violence
- 1.4.4.5 the Independent Convenor is meeting with community groups, e.g. the Dundee Pensioners' Forum, to identify possible risks in community settings and increase awareness of adult protection activity and support in the city
- 1.4.4.6 as noted above, a website has been established giving contact details for reporting concerns regarding harm to individuals

1.5. Support arrangements

The committee and Independent Convenor receive comprehensive and reliable support from Willie Waddell (Committee Services Officer, Support Services Department, Dundee City Council). Secretarial support is provided by the White Top Research Unit, University of Dundee.

1.6. Governance arrangements

A governance document has been prepared and accepted by both the committee and the Chief Officer Group. It covers functions, membership, authority and accountability and collaborative working. (See **Appendix III**).

2. Users and carers: representation and communication

2.1 Representation on the committee

During the first two years of the committee's work, representatives of self-advocates with learning disabilities and a representative of older people have been members of the committee. Meetings have been held with a mental health survivors' group, Dundee Pensioner's Forum, while discussions have taken place with the Dundee Carers' Centre regarding their involvement. Representations have also been made by the Dundee deaf community for involvement.

With respect to learning disability involvement, the committee member's direct access to a large number of fellow self-advocates has made her role genuinely

representative. This arrangement is not available to the representative of older people who regards membership of the committee as tokenistic.

2.2 Representation and advocacy during adult support and protection cases

The Adult Support and Protection Service co-ordinate the invitations to attend the Initial Referral Discussions and Case Conferences. It is part of their role to ensure that the individual and their carers are invited as well as ensuring that the offer of assistance to attend is extended to those who are unable to travel independently. Advocacy services such as Dundee Independent Advocacy Service are also referred to when necessary, so that the individual's views can be expressed. Alternative methods are also applied to encourage the representation of the individual if it is felt that attendance at the Case Conference could be detrimental to their health. For example, individuals are invited to meet with the Chair, prior to the Case Conference to discuss their views on a one to one basis. This is also useful when an individual is reluctant to take part and may be fearful of group settings etc.

In the period 10 January – 10 September 2010 four adult protection cases have had the involvement of an independent advocate. This input has been provided in three cases by *Dundee Independent Advocacy Support* and in one case by *Advocating Together*. The usefulness of these inputs is judged by adult support and protection staff to be variable, depending on the individual situations and circumstances. For example, in one case, independent advocacy provided information from the individual that contributed to decision making, while in another the advocacy worker only provided information already available to staff dealing with the case. Advocacy involvement is an area that has recently been highlighted at an extended management team meeting.

It is essential that fuller consideration must be given to independent advocacy during the course of adult support and protection cases. This provision is being monitored and will be a focus for the work of the committee in the coming months. (See section 3.1.1.6 for further comments on availability of independent advocacy and Recommendation 3, Section 11.)

2.3 Communication across the city

All invitations to speak to groups in the city have been undertaken by the convenor and valuable links established. Several advocacy groups have been visited. Where invitations have not been forthcoming, organisations have been approached with offers of information and presentations. In addition, a newsletter disseminating the work of the committee and adult protection work in Dundee is in preparation.

Adult support and protection staff have also been involved in a range of community events, notably: the *Dundee Tenants' Fair*, *Celebrating Age Network in Dundee East and West*, the *Scam Busters Event* held in the Marryat Hall, Dundee, and the *Black and Ethnic Minority Communities* event held by Bield Housing Association in the Ardler Complex. The purpose of their presence was to inform the public on how to make a concern regarding an adult at-risk known to the authorities, and general awareness raising about the Act.

2.4 Contribution to training

Service users were commissioned to act on the DVD which has resulted in a very realistic account of issues with full involvement of users of services. A fuller account of this initiative will be found in section 8.2.

3. Management information

3.1 Funding

The Scottish Government made additional resources available to local authorities, police and health boards across Scotland to implement the provisions of the *Adult Support and Protection (Scotland) Act 2007*. These resources were provided to cover:

3.1.1 Adult Support & Protection Committee

These costs relate to the recruitment of an independent chair for the Adult Support & Protection Committee and the running costs associated with the committee.

3.1.2 Adult Protection Service

Funding has been deployed for the running costs on the Adult Protection Service and the set up costs associated with its establishment. The service is made up of: Adult Protection and Review Officer (Adult Support and Protection), Senior Officer (Adult Support and Protection), an administrative assistant, and three clerical officers. Funding has also been used to appoint additional adult protection frontline staff.

In addition, Dundee has allocated the resource towards training and staff development as well as public communication.

3.1.3 Resource accountability

As part of the co-operative exercise between the Convention of Scottish Local Authorities and the Association of Directors of Social Work the expenditure and activity of adult support and protection has been subject to monitoring during 2010. Information has been returned by Dundee demonstrating that the resource has been fully allocated and used with monitoring information indicating increased activity.

Financial information from 1 March 2009 - 31 April 2010 is presented in **Appendix IV**.

3.2 Agency activities

Collaborative, interagency working is at the heart of the committee's work and that of the several agencies engaged in adult support and protection. We will comment on the effectiveness of this work in Section 7, below. First, however, we will summarise the work of individual agencies, bearing in mind, however, that most of this activity reflects various degrees of collaboration.

3.1.1 Dundee City Council

3.1.1.1 Business & strategic plan

Dundee City Council has led on the development of a business and strategic plan. The plan is presented in **Appendix V**. The overarching outcomes the plan sets out to realise are that adults who may be or are at-risk of harm will:

- have improved physical and mental well being
- receive effective care when they need it
- be safe and feel safe

To achieve these outcomes there are specific activities to be undertaken which are set out in the business plan. The strategic outcome of this activity will ensure that the Adult Support and Protection Committee will be the catalyst for change and improvement and actively facilitate the long-term strategy which supports the vision and values of services to adults who may be at risk of harm.

3.1.1.2 Multi-agency Procedural Guidance

A key element of realising these goals is the *Multi-agency Procedural Guidance* launched in Dundee at the end of 2009³. This is the core document around which specialist single agency guidance exists and is currently being reviewed to take account of:

- changes in legislation, e.g. new membership scheme replacing and improving upon disclosure arrangements for people who work with groups
- self-evaluation outcomes
- other policy documents as appropriate.

The guidance will be reviewed annually or sooner by the Policy, Practice and Procedures Task Group if an area for amendment or addition is identified.

3.1.1.3 Adult protection activity

With respect to adult protection activity, early work has started between the Social Work Department and Tayside Police to establish an efficient and effective database on adult support and protection activity. NHS Tayside was invited to contribute to this process. However, due to resource limitations this has not been possible to date. The focus of this work is to establish a common dataset that will provide information to the Adult Support and Protection Committee in relation to geographical risk areas and the parts of the City of Dundee that may require a more intense service or resource. This information will also be fed into the *Scottish Index of Multiple Deprivation* requested by the Scottish Government National Statistics Office.

³ Dundee City Council (2009) *Multiagency Procedural Guidance on Adult Support and Protection in Dundee City*. Dundee City Council: Dundee.

The Senior Officer, Information, is also working towards developing a database that will allow the Adult Support and Protection Committee to have an overview of the outcomes for adults at-risk of harm who have been subject to adult support and protection procedures. There is a need to present joint information that includes health as well as social work and police.

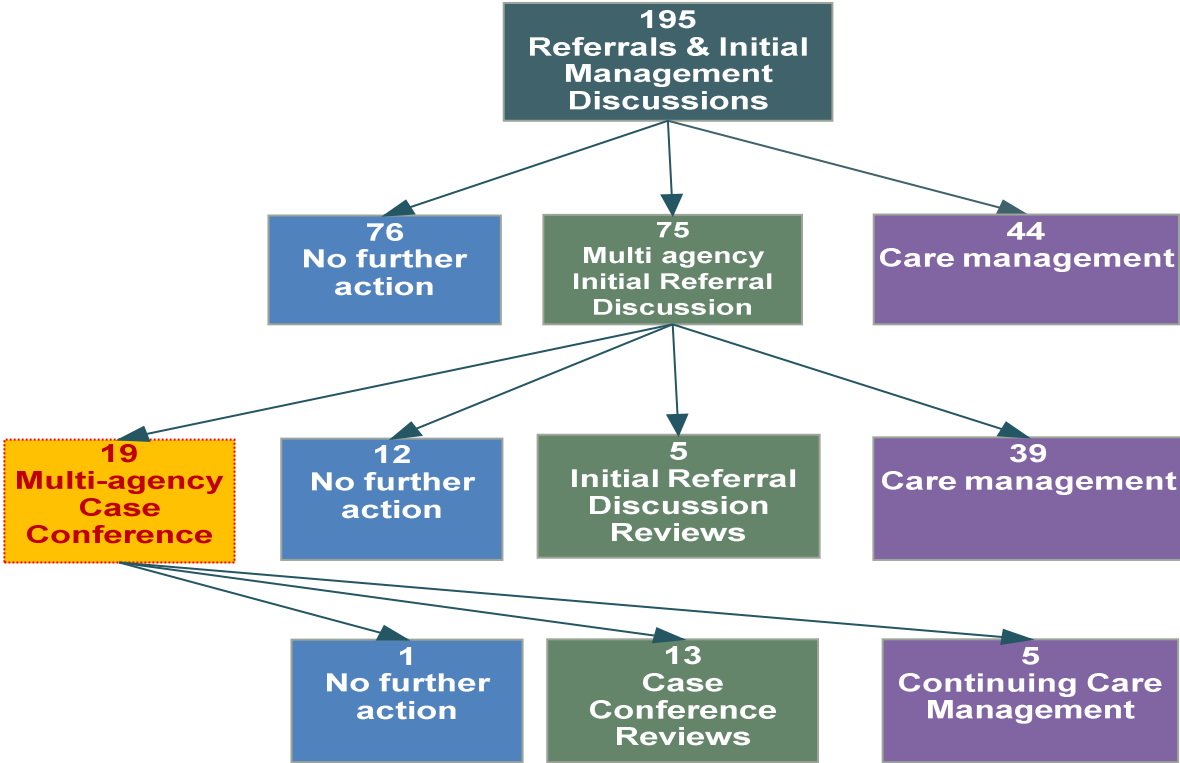
From January 2010 the Adult Support and Protection Service assumed responsibility for collating statistical and operational activity information. The Administrative Assistant, Adult Support & Protection, has responsibility for the maintenance of the data and information. The activity is reported to the Adult Support and Protection Committee on a quarterly basis by the Review Officer, Adult Support and Protection. The Service is currently reviewing the data collection format in order to gather outcome focused information in the future. The data input sheet has also been revised in order to gather more detailed information in relation to adult support and protection activity.

Between 1 January - 30 September 2010, 195 adult protection concerns were reported to Dundee City Council SW Department. Table 1 summarises the outcomes and provides details of the use of orders under the Act. The sequence of responses is shown in figure 2.

Table 1: Summary of adult protection concerns 1 January - 30 September 2010

Number of Individuals Referred	195 - (98 Male - 97 Female)	1 January 2010 – 30 September 2010
No Further Action at ASP Concern	76	Of the 195 referred, 76 cases were no further action and did not proceed to ASP Procedures.
Retain under care management	44	Of the 195 referred, 44 cases were retained under care management and did not proceed to ASP Procedures.
Adult Protection Procedures	75	Of the 195 referred cases 75 went to ASP Procedures. 56 cases were resolved at the Initial Referral Discussion stage. The remaining 19 progressed to ASP Case Conferences.
Protection Orders (Temporary)	1	There is currently 1 Temporary Banning Order in place.
Protection Orders	1	There is currently 1 Banning Order in place with Power of Arrest.

Figure 2: Sequence of responses to adult protection concerns 1 January - 30 September 2010



As may be seen in table 1, the Social Work Team received 75 referred cases that went on to adult support & protection procedures. Their disposal is shown in table 2.

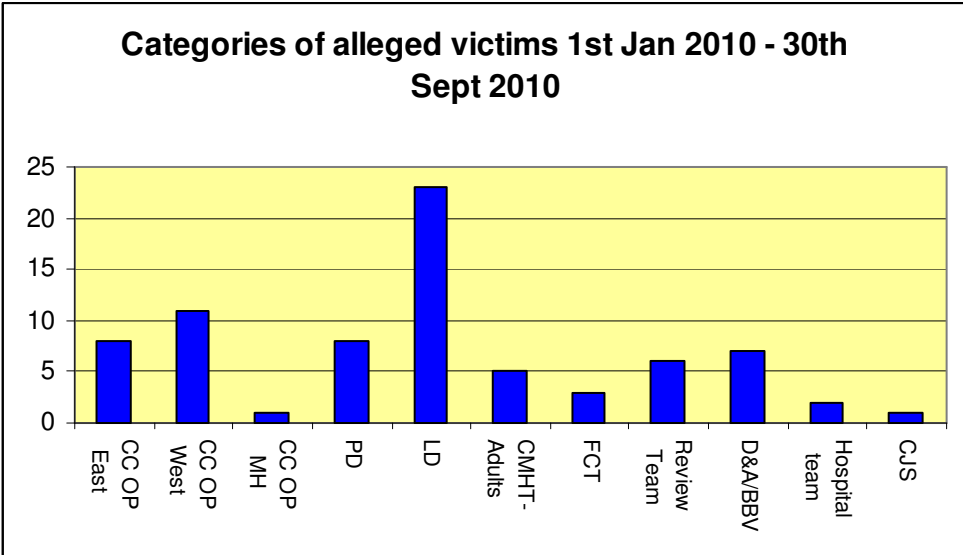
Table 2: Referred cases that went on to adult support & protection procedures*

CC OP East	CC OP West	CC OP MH	PD	LD	CMHT adults	FCT	Review Team	D&A/BBV	NW Hospital Team	CJS
8	11	1	8	23	5	3	6	7	2	1

*Key
 CCOP (East):Community Care Older People (East)
 CCOP (West):Community Care Older People (West)
 CCOP (Mental Health): Community Care Older People (Mental Health)
 PD: Physical Disabilities
 LD: Learning Disabilities
 CMHT (Adults): Community Mental Health Team (Adults)
 FCT: First Contact Team
 Review Team (Older People)
 D&A/BBV: Drug, Alcohol and Blood Borne Virus
 Hospital team: Ninewells Hospital Team
 CJS: Criminal Justice Service

As may be seen from figure 3, if we aggregate the various categories of older people, they form the largest single group of people referred for consideration of adult protection measures. The second largest group is that of people with learning disabilities. This situation is similar to that found in general surveys of individuals referred for such measures.

Figure 3: Categories of alleged victims: 1 January 2010 - 31 August 2010*



*Key

- CCOP (East):Community Care Older People (East)
- CCOP (West):Community Care Older People (West)
- CCOP (Mental Health): Community Care Older People (Mental Health)
- PD: Physical Disabilities
- LD: Learning Disabilities
- CMHT (Adults): Community Mental Health Team (Adults)
- FCT: First Contact Team
- Review Team (Older People)
- D&A/BBV: Drug, Alcohol and Blood Borne Virus
- Hospital team: Ninewells Hospital Team
- CJS: Criminal Justice System

The ages of the individuals are presented in figure 4. As would be expected from figure 3, in the reporting period the highest age group referred is the older people category (65-80+ years) a total of 75 individuals. The unknown age grouping is the result of an individual who travelled to Dundee from England and had forgotten their personal details due to mental health difficulties.

Figure 4: Age groups of individuals referred for adult protection concerns

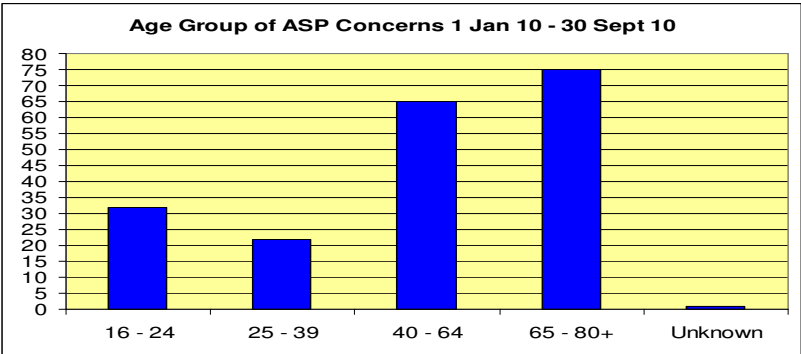


Table 3 presents the types of harm reported. With respect to any one individual multiple types of harm may have occurred.

Table 3: Types of alleged harm 1 January-30 September 2010

Emotional	Financial	Neglect	Physical	Sexual	Self Harm	Welfare	Fire & Safety
16	56	9	54	15	36	54	1

The types of harm raised as a concern for the period 1 January 2010 - 30 September 2010 are presented in table 3, below. Financial and physical harm continue to be the predominant areas of harm in Dundee. The relation between poverty and deprivation within the city and harm to people merits fuller investigation.

These figures include cases where more than one type of concern was recorded for a client. In addition to the main categories of harm, information is also being collected in relation to concerns and referrals of adults at-risk that have been made to the Social Work Department where the individual has welfare needs and is to some degree at-risk of harm, but does not fall within the Adult Support and Protection legislative framework. In the period 1 January - 30 September 2010 there have been 55 such individuals. The majority have either an alcohol and/or drug dependency and this is impacting on their lifestyle and subsequent choices they make.

In the majority of cases the perpetrator was either a family member or was known to the adult at-risk and the harm occurs within their own household (table 5). This suggests that the more at-risk people in our community are, the more likely they are to be victimised or harmed for a prolonged period of time before the harm is detected. As this takes place in a closed setting, it is less likely to come to the attention of others.

Table 5: Relationship of alleged perpetrator to client for period 1 January - 30 September 2010

Spouse/Partner	Parent	Other Family Member	Friend/ Associate	Employed Carer	Self	Other Resident	Stranger to Client	Neighbour
14	4	24	24	17	84	3	22	3

These findings show that more community and family engagement is required in terms of raising awareness of adult support and protection legislation. This will allow far earlier identification of incidents of harm in both family homes and community settings, thus allowing for the earliest possible intervention, support and protection. The issue of self-harm is of particular concern and merits fuller analysis and consideration.

The majority of reported allegations of harm or proven harm occurred to individuals in their own home (table 6).

Table 6: Where Alleged Concern took Place for period 1 January - 30 September 2010

Client's Own Home	Sheltered Housing Complex	Supported Accommodation	Care Home	Hospital	Community	Hostel	Alleged Perpetrator's House
136	3	4	17	0	34	0	1

It is also evident that the adult had been dependent on the person harming them for physical, social and/or emotional support. Many of the perpetrators were providing some degree of care or support for the adult at-risk. This made the individual susceptible to further exploitation due to a fear of reprisal. This increases the need for support from outside agencies and will therefore have an impact on future resources required in order to keep individuals healthy and safe in the community. The incidents of harm are not specific to certain localities within Dundee City but are spread throughout both the affluent and deprived areas. The resources required to assist in keeping communities safe need to be determined in relation to this demographic spread. This will then inform the multi-agency strategies and initiatives.

Two *Protection Orders* have been successfully applied for in this reporting period. One full *Banning Order with a Condition of Power of Arrest* has been renewed recently and one recent *Temporary Banning Order* has been granted, with the full hearing scheduled to take place in court mid-November. Both the adults at-risk of harm are females who have a learning disability and both perpetrators were known to them. The female who has the full protection order was subject to financial and sexual harm that had been suspected to be ongoing for some years. The effectiveness of the order has resulted in a significant improvement in her life and home circumstances. She is no longer living in fear and is now more confident socially. Her improved home and financial situation means she is more confident and less anxious. Staff who support her report a vast difference in her presentation and have described it as a "*big black cloud being lifted from over her*". The *Temporary Banning Order* has been granted for similar circumstances although the situation for this female is not as severe. At this early stage there have been no difficulties in the process of securing banning orders. However, it is acknowledged that there may be differing views among sheriffs as to how "*serious harm*" is interpreted. The orders granted to date are having a positive impact and have led to the two people feeling safer, healthier and wealthier.

3.1.1.4 *Assessing the risk of harm*

A considerable amount of work has taken place between agencies to establish appropriate referral routes for practitioners and members of the public to highlight concerns regarding adults at-risk of harm. Tayside Police are currently reviewing the thresholds at present in place across the force area, which covers Angus, City of Dundee and Perth and Kinross, to ensure that assessments and the information being supplied to partners is consistent across Tayside. The Adult Support and Protection Review Officer recently reviewed the referral pathways in order to streamline the process for the public and partner agencies who wish to raise a concern. The new process will offer a quicker response to referrals received, as well as aligning the communication systems between Dundee Social Work Department, Tayside Fire and Rescue Service and Tayside Police. It is planned to engage Scottish Ambulance Services in the process over the coming months. By continuing to review and improve the communication systems between all agencies the safety, health and well-being of individuals in Dundee will improve. Good information sharing and good communication lines will allow us, for example, to:

- determine/assess whether the alleged perpetrator poses further significant risk to any other individual or to the general community
- construct a multi-agency protection plan and implement a risk management plan that provides professional support to all those at-risk and also reduce the risk of harm
- reduce repeat victimisation for people
- improve support for staff involved in high-risk cases of harm.

At present the adult support and protection service involves the use of a basic risk assessment tool which takes into account a range of factors when assessing risk to the adult. There is a need to develop this further. The tool is used when a single/specialist shared (needs) assessment, a review or an initial investigation of a significant incident reveals a risk of serious harm. It is also used when complex needs interact to create serious risks and when high levels of risk cannot be managed within normal care plans. The tool covers communication, capacity and involvement issues such as:

- are there any particular communication/support needs such as an interpreter, independent advocate, appropriate adult?
- has there been a formal assessment of capacity or is one required?
- the person's ability to make decisions about risk

The tool also contains:

- a chronology of significant events, highlighting current risks and concerns
- any triggers that might heighten risk
- what the protecting factors are which can reduce risk levels

This information is integrated into a protection plan which is then implemented. More recent discussion has focused on possible risk assessment tools in adult protection. The Adult Support and Protection Committee has also requested a review of possible risk assessment approaches which can be used on a multi-agency basis and applied to adult support and protection procedures.

Risk assessment is also being reviewed within the Social Work Department. Part of the ongoing work is to develop a Risk Assessment Protocol which will be introduced across Community Care, Criminal Justice and Children's Services in order to standardise practice in each service area.

3.1.1.5 Evidence of impact, and outcomes

To date, 28 case file self-evaluations have been completed with more due to be undertaken as part of the Self-Evaluation Task Group work. The outcomes of these self-assessments have and will continue to be fed back to individual practitioners and used to maintain and develop quality standards.

The self-evaluations completed have indicated that the risk to the adult has been removed or significantly reduced and that people have benefited from multi-agency involvement and intervention. The multi-agency attendance has been at a very good level with all agencies contributing to follow-on core groups, if they have been required. The self-evaluations have also demonstrated a very high level of good communication between the partners involved. Practice applied does engage the adult and their family or carers in the process. However, it is also noted from the self-evaluations that, as dealt with above, the use of independent advocacy must be significantly increased, as for example, when an adult is unable to attend a case conference.

The self-evaluations indicated areas of improvement with respect to the timescale of referrals and the appropriateness of the immediate response. It is clear that these are partly the consequence of practitioners' time constraints across the agencies, but also reflect a need to ensure that all relevant staff are fully familiar with relevant guidance. In the light of these findings, the Review Officer, Adult Support and Protection, and Senior Officer, Adult Support and Protection, are to undertake a review of both the *Multi-Agency Procedural Guidance* and the Social Work Department's internal *Adult Support and Protection Operational Guidance*. This is also an area that the Policy, Practice and Procedures Task Group will also examine in order to improve practices. Both initiatives are the result of our policy of continuous reappraisal of procedures in order to improve practice.

As part of our self-evaluation the Self-Evaluation Task Group members plan to undertake face to face interviews with individuals and their carers in order to gain service users' and carers' perspectives. This will be an integral part of informing our future practice across the various agencies.

3.1.2 NHS Tayside

The NHS is recognised as a key partner in both the Act and subsequent guidance. The contribution of NHS Tayside to the development of effective adult support and protection activity in Dundee is critical and occurs at both the level of interagency collaboration and with respect to improving internal policy and procedures.

3.1.2.1 *Interagency collaborations*

Key NHS officers have made an important contribution to the work of the multi-agency sub-groups described in Section 1.4. The input of NHS officers to the Dundee Adult Support and Protection Committee itself, as well as the Learning & Workforce Development Sub-group and the Policies, Practice and Procedures Task Sub-group, has been significant and is fully acknowledged. In addition, a crucial contribution is made by senior NHS managers to the work of the Tayside Wide Adult Support and Protection Group. Further aspects of collaboration are noted in the following section 3.1.2.2.

Both NHS Tayside and the Adult Support and Protection Committee acknowledge the need to ensure clearer pathways of communication and operation between health services and the work of the committee. The need for improvement in this area arises from the diversity and complexity of NHS provision. Explicit issues have centred on lack of a single point of contact at board level for the whole of Tayside with respect to adult support and protection issues; their role in co-ordinating NHS Tayside input to the Adult Support and Protection Committee and its sub-groups, and the formation of a single NHS Tayside clinical and managerial group to oversee and support implementation of adult support and protection arrangements. Among other points is the desirability of developing formal agreements between NHS representatives and CHP Committees. During the period covered these requirements, though agreed, have not yet been progressed.

More recently (August 2010) further discussion has taken place with a view to contextualising these arrangements in the wider developing NHS Tayside framework of quality assurance and protection of patients in both hospital and community settings. The development of arrangements between the committee and NHS Tayside should build on the already significant input of NHS staff to on-going work but needs to be progressed as a matter of urgency.

3.1.2.2 NHS Tayside procedural developments

NHS Tayside has developed internal *Operational Procedures for the Support & Protection of Adults at-risk of Harm*, which were endorsed by its Improvement Panel in August 2010 for implementation across the organisation. These procedures dovetail with those of the three Local Authority Councils in Tayside and their implementation will help enable NHS Tayside staff to exercise their responsibilities in relation to the support and protection of adults at-risk of harm and do so in keeping with the requirements of the Act.

3.1.2.3 Medical examinations for the purpose of the Act

Arrangements to facilitate medical examinations for the purposes of the Act have been developed and have been ratified by the NHS Tayside Area Clinical Forum, all three Clinical Directors from the Community Health Partnerships in Tayside and by relevant officers of the three Tayside Local Authority Councils.

3.1.2.4 Training

A training plan has been developed to capture the key priority groups of staff who require training in adult support and protection. NHS Tayside employs around 14,000 staff and it is important that there is a realistic mechanism in place to ensure that key staff groups are able to access the required level of training to meet their needs.

In order to facilitate this, a blended approach to the delivery of training has been introduced, with three levels being identified, i.e:

- *e-Learning*

In order to facilitate the wide introduction of level 1 training (see section 8, below) several e-learning training materials are being developed.

Working closely with IT colleagues in all NHS Board areas in Scotland, there is an e-learning alliance network in place which enables staff working across different terrestrial board areas to access e-learning programmes that have been developed. Within Tayside, there is active involvement in this initiative with the intention of being able to offer a variety of e-learning modules on adult support and protection, with a tracking system in place to record activity and completion of modules.

- *Training at induction*

The *Adult Support & Protection Act* is also introduced to new employees at NHS Tayside's Corporate Induction courses and participants are signposted as to how to access further details and information, relevant to their role.

- *General awareness sessions*

Half-day workshops are being delivered for those who require knowledge and skills in relation to the implementation of the *Adult Support & Protection Act*. Training is identified via the staff electronic Knowledge & Skills Framework/ Personal Development Plan (e-KSF / PDP). Workshops have been running across Angus, Dundee and Perth localities in partnership with local authority training colleagues. NHS Tayside now has two Learning & Development Advisors identified to facilitate the ongoing roll-out of these sessions.

- *Specialist training*

For identified groups of staff, e.g. clinicians/specialists working in particular areas, there are a variety of learning programmes available for staff with a specialist training need, which will be identified via Personal Development Planning and appraisal.

For all of the aforementioned training initiatives, very close working partnerships are in place with our colleagues in the three Local Authority Council areas in Tayside. There are strong links with a number of voluntary organisations and the opportunity to explore how to share and develop learning resources is a key objective.

3.1.3 Tayside Police

Tayside Police continue to provide a dedicated commitment to all aspects of adult support and protection activity in the form of the Public Protection Units (PPU) based at Central Division (Dundee), Western Division (Perth) Eastern Division (Arbroath).

Within Central Division, representation by police is provided on the main subgroups of the Adult Support and Protection Committee in respect of the Policies, Practice and Procedures Task Group and the Workforce and Learning Sub Group.

Between the 1 January - 30 September 2010 Central Division PPU staff has carried out 151 adult at-risk referrals to the Social Work Department of Dundee City Council by way of a developed and recognised referral process, sharing all identified concerns and issues along with ancillary information relevant to the cause.

Of these referrals, PPU staff have attended and provided input at Initial Referral Discussion and/or Case Conference and/or Multi Agency Meetings in respect of 53 cases, providing more detailed information, undertaking actions set out in the development of action plans and providing updates.

The involvement of Tayside Police in the development of the city-wide risk assessment has been noted in Section 3.1.1.4, above.

3.1.4 The Dundee Violence Against Women Partnership (DVAWP)

The DVAWP has made a significant contribution to the work of the committee over the past two years, developing partnerships on a range of issues. The work of the DVAWP covers domestic violence, sexual violence, commercial sexual exploitation, including human trafficking, and harmful traditional practices such as forced marriage. Many of the women affected by the different forms of violence against women may also be adults in need of support and protection. DVAWP has contributed fully to this important area of strategic work alongside the committee, ensuring specialist services dealing with violence against women are fully equipped to respond to these issues.

DVAWP has also worked with specialist services in this sector to ensure that policies and procedures are reviewed, taking into account the adult support and protection

legislation. Assistance to such services to gain access to staff development opportunities and to work positively in this area has been provided.

One specific area of work taken forward by the committee in relation to the violence against women agenda has been local responses to victims of human trafficking. In June 2010 the committee agreed a joint responsibility with the DVAWP for the development of a victim care protocol that will ensure victims of human trafficking are identified and provided with appropriate care and protection services. This work is essential in ensuring compliance with the *Council of Europe Convention on Action Against Trafficking in Human Beings* (2008). In making this decision the committee recognised that the existing framework for identifying and dealing with adults in need of support and protection would also be an appropriate framework for responding to victims of human trafficking. The commitment of members of the committee to taking an active role in preventing and combating human trafficking at a local level has been an important step forward in this area of work.

3.1.5 Care Commission

Collaboration between Dundee City Council adult support and protection staff and the Care Commission has been positive. Where appropriate an adult at-risk concern is routinely referred to the Care Commission. The council regularly updates the Care Commission on actions undertaken with respect to adult support and protection procedures. The Care Commission also provides advice and support to practitioners when required, also offering advice to staff who work in private care home settings. Joint working when concerns exist with respect to residential provision has also been effective. However, involvement of Care Commission representatives at Initial Referral Discussions and case conferences has been low and requires improvement.

3.1.6 Tayside Fire and Rescue

Representation on the committee by Tayside Fire and Rescue (TFR) is a recent development, though the service has for some time co-operated with other agencies as required by the *Local Government in Scotland Act 2003*. The service aims proactively to identify individuals at-risk of harm and minimise risk to them, alerting other agencies responsible for ensuring their ongoing health, safety and welfare.

TFR have drawn up policy and procedures for individuals at-risk of harm detailing responses to concerns with respect to action, referrals, follow up, monitoring, filing and confidentiality.

4. Significant case reviews

A significant case review protocol based on the children and young people protocol is under development. Formal criteria for undertaking such reviews will be specified. Significant case reviews enable the identification and promotion of good practice, and issues of poor practice will be addressed and learning from practice encouraged. With this in mind the committee has authorised draft guidance outlining an inter-agency mechanism to identify and disseminate lessons from past and current

practice to ensure these lessons directly inform the development of future policy, practice and service development.

The purpose of the protocol is to provide a systematic and transparent approach to the process of significant case review which will establish whether there are lessons to be learnt about how better to protect adults at-risk and help ensure adults get the help they need when they require it in the future. The review group will also make recommendations for action if and when appropriate and consider how to implement such actions. This will address the requirement to be accountable, both at the level of agency and agencies and the occupational groups involved. This will also increase public confidence in public services, providing a level of assurance about how those services operated in relation to a significant cases concerning adults, and identify national issues where appropriate including good practice.

Despite the procedure not being in place, the adult support and protection committee has received reports on relevant cases and at the time of writing has requested two further such reports.

5. Public information

On-going initiatives concerned with providing information to the public and increasing awareness are dealt with under 1.4.4 above.

6. Management of services and staff

Recruitment to the Adult Support and Protection Service is complete. The Review Officer, Adult Support and Protection, was appointed in August 2009; the clerical team was appointed in September 2009, the Administration Assistant commenced in January 2010 and the Senior Officer, Adult Support and Protection, (Strategy, Performance and Support Services) in May 2010.

Details of staff training are provided in Section 8, below.

Service Managers within the Community Care Service in the Social Work Department have operational responsibility for adult support and protection in their own area. They support and line-manage their Team Managers and Council Officers who are undertaking their statutory duties. They also chair any Initial Referral Discussions and Case Conferences within their own service area. The Review Officer, Adult Support and Protection, is integral to Community Care Services and also chairs Initial Referral Discussions and Case Conferences. The Adult Support and Protection Review Officer line-manages the Administration Assistant who has responsibility for collating data and activity in relation to multi-agency processes. The two full-time Senior Clerical Workers who have responsibility for minute-taking and facilitation of adult support and protection meetings are managed by the Administration Assistant. One-to-one supervision is on a regular basis for all staff.

The Service Managers and the Review Officer, Adult Support and Protection, are line managed by the Community Care, Head of Service. The Adult Support and Protection Senior Officer is line managed by the Service Manager in Strategy

Performance Support Services and is responsible for the development of a framework of self-evaluation and policy review. These are reflected in the Adult Support and Protection Committee's business plan and feed directly into the Self-Evaluation Task Group. Any practice related changes are then disseminated across to multi-agency practitioners.

The Head of Service Community Care, Service Manager Strategy Performance Support Services, Review Officer, Adult Support and Protection, and Senior Officer, Adult Support and Protection, also meet regularly for group supervision. This allows a transfer of information across both service areas to ensure momentum in developing adult support and protection processes and procedures.

7. Communication and co-operation between agencies

As previously outlined the Task Groups of the committee have wide agency attendance as do the Initial Referral Discussions, Case Conferences and Core Groups. Attendance and co-operation at these meetings has gradually improved in line with the awareness-raising concerning the legislation. At a practice level, agencies are sharing responsibilities and tasks in order to provide a positive outcome for individuals. Communication and sharing of information between partners is also improving, thus further enhancing good practice across and within the various agencies. This was highlighted in the recent case self-evaluations between Tayside Police and the Social Work Department, as discussed earlier in the report.

7.1 Task Group collaboration

As already noted, the Task Groups noted above have multiagency representation and detailed collaborative working feeds directly into the activities of the committee.

7.2 Protecting People Forum

The *Adult Support and Protection Committee* is represented on the Social Work Department's *Protecting People Forum* which draws together a range of cross cutting themes and views from community care, children's services, criminal justice, child protection, violence against women, learning and workforce development. This group meets every two months.

Collaboration was extended with the acceptance by the committee of its responsibilities with respect to potential victims of human trafficking. As noted above, recognising the role that the adult support and protection system has in ensuring an adequate response to this issue, the committee has contributed to the development of a support protocol for victims of human trafficking. This is reflected in the current business plan.

7.3 Tayside-wide Adult Protection Group

The Tayside-wide Adult Protection Group includes representatives of the three councils, Tayside Police, NHS Tayside, the three Community Health Partnerships as well as the three independent chairs. The group's main work consists of cross

regional co-ordination and exchange of information on local activities. In this respect work in the last year has included revising the Tayside-wide Adult Support and Protection Protocol, the planning of a bi-annual conference, and the co-ordinated development of performance information. Chairing of the Group passed from Angus to Dundee during the period of this report.

7.4 Joint communication initiative

In the wider context of the Dundee *Protecting People* agenda, a joint approach to communication is being developed collaboratively by the Adult Support and Protection Committee, the Children and Young Persons Protection Committee, Domestic Violence Against Women Partnership and the Multi Agency Public Protection Arrangements (MAPPA) Strategic Oversight Group. It is proposed to develop joint and shared initiatives for communication and awareness-raising as part of an all-embracing *Protecting People* strategy.

Each of the four strategic groups has a remit to communicate effectively with both professionals and members of the community. Each is concerned with the protection and welfare of members of the community. Up to now, each has operated independently of the others in developing and delivering its communications. There is so much common ground between them, that it is reasonable to consider that they should work together to develop and deliver joined up communications under an umbrella of *Protecting People*.

Each group, including the Adult Support and Protection Committee, will continue to retain its responsibility for its remit to communicate effectively and raise public awareness in its own area, in the present instance through the Communication Task Group (see 1.4.4. above). However, areas of common concern will be communicated jointly.

As well as effective media relations, the initiative will seek to spark a cultural and attitudinal change amongst professionals that will lead to thinking about protecting people rather than about adult protection, child protection, domestic violence and sex offenders as separate and independent areas for attention. The Chief Officer Group Staff Engagement Event in May 2011 will provide an opportunity for important messages about moving forward with a protecting people agenda to be delivered and for staff to be involved in exploring how this could develop beyond communication and awareness-raising.

7.5 Collaborative training

The importance of collaborative, multi-agency training cannot be overemphasised. This is described fully in Section 8 and particularly in Section 8.2, below.

8. Training

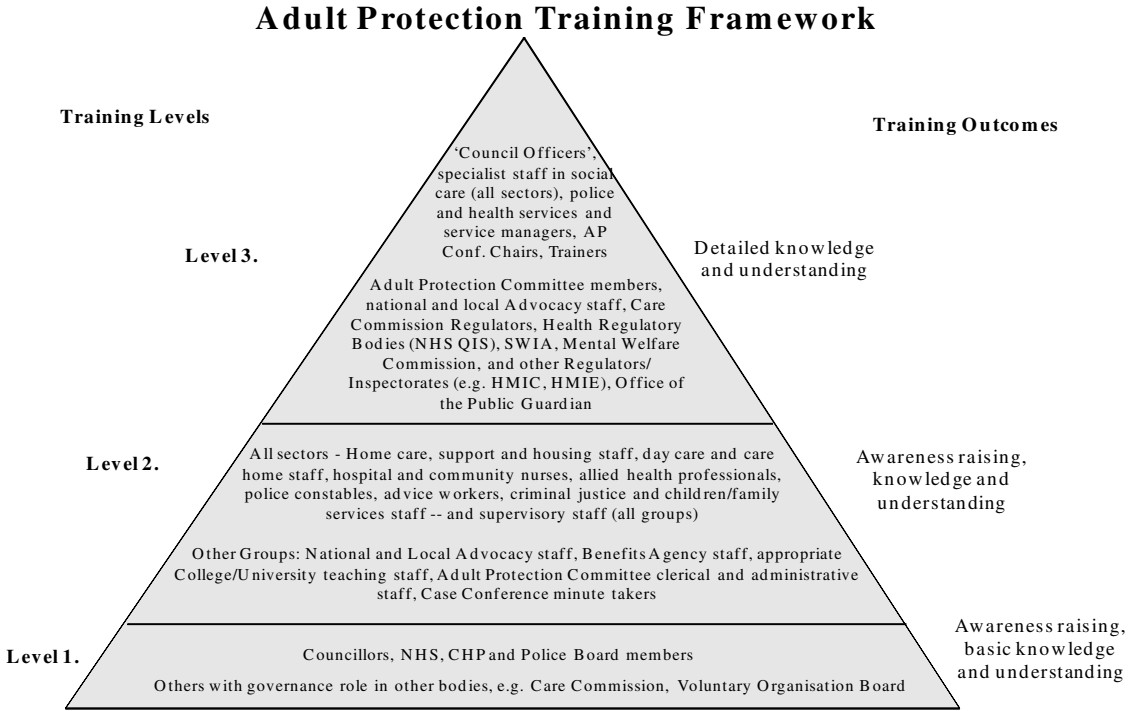
Extensive training initiatives have been at the heart of adult support and protection activity in Dundee before and after the establishment of the committee. We have already noted the contribution of NHS Tayside to training within the NHS and its

collaboration with other agencies (Section 3.2), while reference is made to training by the police below. A detailed report on training by Dundee Social Work's Staff Development section for the year ended September 2009 is presented in **Appendix VI**. Here we deal with training during the second year covered by this report.

All education, training and development has been carried out in the framework developed by the Scottish Government Implementation Group Training Sub-group which is illustrated in Figure 4.

From October 2009 there has been continued and extensive progress in learning and workforce development related to adult support and protection specifically, and more comprehensively in relation to the public protection agenda generally. It is therefore becoming a more joined up and holistic approach to learning and development to reflect better the communities with which we are in contact. An outline of year 2 education and training follows. The description reflects the different levels of the training framework illustrated in Figure 4.

Figure 4: Adult support and protection training framework as developed by the Scottish Government Implementation Group Training Sub-group



8.1 Induction

Induction is provided on an in-house basis to all new staff in the local authority and in partner organisations.

- 8.1.1 Adult and child protection briefings are provided on an in-house basis. All agencies are providing DVD-based awareness training for staff. More inclusion of the private and voluntary sector is required however
- 8.1.2 In the Social Work Department, 115 new staff have been inducted into Dundee City Council Social Work Department since the last report in October 2009, receiving information using the protecting people format (DVD included) which covers all areas of protection
- 8.1.3 NHS Tayside provides training on their adult support and protection procedures to new staff though it is difficult to establish exact figures from agencies outwith the council at this stage (see Section 3.1.2.4, above)
- 8.1.4 Housing and Communities Departments have provided awareness raising for approximately 200 staff including, sheltered housing wardens, housing officers and Community Education workers
- 8.1.5 Tayside Police have developed and delivered awareness training for all their staff relating to the *Adult Support and Protection (Scotland) Act 2007*
- 8.1.6 Actions planned or required by the sub-group:
 - 8.1.6.1 A system is required which details and measures activity for learning and development across all agencies
 - 8.1.6.2 A programme for the delivery of adult protection awareness training to approximately 100 staff from 48 private and voluntary providers in Dundee is planned for November/December 2010

8.2 Level 1: Basic awareness and training

Basic awareness training is provided to all agencies across the three local authority areas in Tayside including, police personnel, health staff, as well as staff in the private and voluntary sectors. This training is also available corporately across the council.

A DVD and learning event have been developed and produced both in Dundee and across Tayside on a multi-agency and a shared services basis. This has now been piloted across Tayside and is ready to be rolled out across the region within the three local authority areas. Key operational and learning and development staff from all the agencies are to be trained to deliver the training which covers adult support and protection, child protection, domestic violence and MAPPA. More in-depth practice development and awareness of the Act will also be explored. Service users were

commissioned to act on the DVD which has resulted in a very realistic account of issues with full involvement of users of services.

The following actions have been planned or required by the Task Group:

8.2.1 there are 16 one day courses scheduled to run from October 2010 until March 2011 which will reach 400 staff in the local authority. From January 2011 this will be provided on a multi-agency basis to reach approximately 2000 staff in Dundee

8.2.2 future rolling programmes will be built into the planning cycles

8.3 Level 3: Practice development, council officer training and requirements in the use of the Act

Practice development, council officer training and requirements in the use of the Act are mainly offered on a single agency delivery model to specific groups. These groups are required to have in depth knowledge of the Act and practice developments which arise from serious incident reviews and audits and other sources of feedback. Multi-agency, in-depth training is planned to be developed further. Progress has been made with respect to:

8.3.1 In March 2010 50 senior managers, team managers and senior practitioners in social work received a half-day day training event to explore and examine the interfaces and complexities between the *Adult Support and Protection Act 2007*, *Adults with Incapacity 2000* and *Mental Health, Care and Treatment Act 2000*)

8.3.2 Council officer training for professional front-line practitioners and first-line managers continued from October 2009. *Mental Health Law in Scotland* commissioned and delivered this learning activity. The event explored the power and the duties of the Act. To date 130 staff have attended. Future dates will be factored into the planning cycle

8.3.3 The *Chairing and Managing Case Conferences* course has run once since the Adult Support & Protection Committee annual report (2009). Four additional service managers have attended this, leaving only two to complete

8.3.4 Two practitioners from learning disability teams attended a one day training event on domestic violence and working with people with learning disabilities. This was commissioned in partnership with the *Tayside Consortium for Violence Against Woman*

8.3.5 Seventeen practitioners from Dundee attended an in-depth, one day training course on substance misuse and domestic violence links. These staff were from the *New Beginnings* multi-agency team, Criminal Justice Services, Housing Services and the *National Children's Homes* families project

8.3.6 A Protecting People Forum has been established by the manager of *Children's and Criminal Justice Services* in the Social Work Department. This is a single agency group which though learning and development strands are being fed into the multi-agency group. There is a sub-set of the Protecting People Group exploring skill sets for staff working with people in need of support and protection. This will be expanded for staff working in partner agencies

Future actions planned or required by the sub-group include:

8.3.7 The development of council officer and management training and development of a rolling programme of refresher courses for existing staff, and new programmes following recruitment for new staff and on multi agency basis as required

8.3.8 Practice development to respond to other practice needs emerging from case file single and multi-agency audits

8.3.9 The development of further training on the *Adults with Incapacity and Mental Health Care and Treatment Acts* for practitioners, senior and front-line managers

8.3.10 The provision of a learning and development programme specific to Mental Health Officers

8.3.11 A Tayside-wide Conference is to be held on the 19th November 2010. This will involve over 150 practitioners and managers working across adult services. Members of the Learning and Workforce Development sub-group will assist with the facilitation of the workshops

8.4 [Level 4: Management, Advanced /Specialist Qualifications](#)

Eleven staff members from adult services within the local authority have been funded and are supported to study for the post graduate certificate in adult support and protection at the University of Dundee. The staff group represents practitioners and front-line managers from older people, first contact, physical disabilities, learning disabilities, drugs and alcohol and blood borne virus teams.

One member of staff from the mental health team has been funded and supported to study for the postgraduate Mental Health Officer award at Edinburgh University, while a further member of staff has been funded and supported to study for the post graduate diploma in dementia studies at Stirling University.

8.5 [Other activity related to protecting people and adult support and protection](#)

Other training related activity is summarised in Figure 5.

Figure 5: Additional training activity

Ethical Case Recording	Single agency/social work - 220 staff trained additionally since last reporting.
Domestic violence	100 additional staff trained since last report
Substance Misuse	Rolling programme about to progress in all areas covered by substance misuse with 150 home and social care staff to start in October 2010
Communication Differences and Abilities	20 additional staff trained since October 2009
Dementia Training	50 additional trained multi-agency staff

8.6 Future developments

Staff training and development are on-going activities in need of continuous revision and extension. The principal projected developments are:

- 8.6.1 A strategy and work plan will be produced in the coming months which will provide the committee with the framework for governance in relation to learning and workforce development in Dundee
- 8.6.2 Further development is required or is being progressed or integrated into current thinking in the following areas below:
 - 8.6.2.1 Case conferences for all participants (not just chairs)
 - 8.6.2.2 Risk assessment
 - 8.6.2.3 Assessment and decision making
 - 8.6.2.4 Practicalities of procedures and communication
 - 8.6.2.5 Initial Referral Discussions roles and responsibilities
 - 8.6.2.6 Consent and capacity
 - 8.6.2.7 Human Rights legislation and considerations of capacity and consent

9 Workforce issues

Despite advertising for key posts in 2008-2009, difficulties were encountered in making appointments. Re-advertising, however, led to successful appointments, the personnel remaining in post at the time of this report.

10. Independent Convenor's overview comments on progress

10.1 Development of structures and procedures

The City of Dundee Adult Support and Protection Committee has been successfully constituted and is fully operational. Both working practices and issues of governance have been developed. While input from members' agencies is variable, the overall picture is one of a high degree of commitment. Support for the committee from both managers and practitioners in all agencies has been unstinting and the working relationship between them and the committee has been excellent. However, improvement is possible and is dealt with below.

In our judgement, the *Adult Support and Protection (Scotland) Act 2007* has provided an important framework and focus for adult support and protection with respect to procedures, duties and the facilitation of interagency working. The funding available during the past two years has ensured that key provisions of the Act have been complied with, though the issue of resources for independent advocacy remains to be dealt with (see below).

The view of the convenor with respect to representation of service users and individuals who may be regarded as being at-risk of harm, is that a fuller appraisal of their role on the committee, and the extent to which they have a truly representative role, needs to be reviewed. While there are no plans to alter present membership, the way in which the many diverse user groups can best make their voices heard and contribute to adult support and protection in the city should be reviewed. (See **Recommendation 1.**)

The development of a fully operational Adult Support and Protection Service has taken up much of the first two years of the Adult Support and Protection Committee's work. However, this has now been effectively achieved and with this in place key elements of policy and practice that realise the provisions of the Act and related guidance have been, and are being, addressed. The necessary Task Groups supporting the committee's work are now operational or in the process of being formed. A detailed and well-worked out business and strategy plan has been prepared and an important task for the future will be the need to review its implementation and revise it in the light of feedback. **Recommendation 2** deals with the process of review. A governance framework dealing with remit, operation and accountability has also been prepared.

10.2 Dealing with allegations of harm

The development of the *Multi-agency Procedural Guidance* was a critical development in establishing the steps to be followed from an initial concern or referral through to the disposal of the case. This brings the legislative requirements into operational practice and provides the basis for decision making. The guidance will undergo on-going review in the light of experience and the outcome of self-evaluation. Systems of recording have also been established and the resulting database is being used to identify priorities and particular concerns. Initial self-evaluations of actual adult support and protection interventions indicate that

measures were effective and carers and those safeguarded were satisfied with their support. However, determining satisfaction with how cases were dealt with and the success of outcomes will be a key element of the evaluation referred to below.

The development of protocols necessary for effective adult support and protection are on-going, notably with respect to risk assessment, critical case reviews and human trafficking. These provide clear targets for early work during the first months of the second two-year period of the committee's operation.

The case file self-evaluations indicated that in the cases processed the risk to the adults had been removed or significantly reduced and that people have benefited from multi-agency involvement and intervention. Multi-agency attendance at reviews and case conferences was generally excellent, with all agencies contributing to follow-on core groups and demonstrating a very high level of inter-agency communication between the partner agencies involved.

Importantly, areas for improvement were also noted. The need for rapid referral and team work to ensure effective intervention and the prevention of further harmful incidents is paramount. Timescales within the operational procedures need to be achieved.

In response to these findings the Review Officer, Adult Support & Protection, and Senior Officer, Adult Support & Protection, will undertake a review of both the *Multi-Agency Procedural Guidance* and the Social Work Department's internal *Adult Support and Protection Operational Guidance*. These shortcomings will also be reviewed by the Policy, Practice and Procedures Task Group in order to improve practice and reported to the committee.

As throughout Scotland, independent advocacy was extremely limited in the cases dealt with, and is not yet an integral part of the adult support and protection process. This is a major priority to address in the coming years (see **Recommendation 3.**)

At present there is no coherent risk assessment approach being employed, though this is not to say that there is any failure to undertake assessments of risk. However, a clear set of procedures is required that can be documented and reviewed. These will be influenced by the outcome of the Social Work Department review of risk assessment. **Recommendation 4** indicates the need, in the light of this review and other deliberations in relation to adult support and protection, to produce guidance that complements the *Multiagency Procedural Guidance* and links specifically to Section 9.2.3 in it and other procedures related to risk assessment.

10.3 Awareness raising

Considerable effort has gone into communicating with key stakeholders and the wider community to brief them on the work of the committee and the various agencies committed to improving adult protection. There is still, however, a need for continued consciousness and awareness raising coupled with direct evaluation of public awareness and perceptions of safety in the city.

10.4 Inter-agency collaboration

We have provided evidence of inter-agency collaboration in the letter and spirit of the legislation. With respect to some agency relationships there are natural points of contact with respect to cases, e.g. between the local authority and Tayside Police and between the authority and Care Commission, and also the Social work Department with the Dundee Violence Against Women Partnership. Effective interagency collaboration is evident between and among these agencies.

Evidence was also provided of significant contributions by NHS Tayside staff to the work of the committee, the Task Groups, and the Tayside-wide Adult Protection Group. In addition, internal NHS policy and procedures and their relation to local authority duties have been developed over the period of this report. NHS Tayside, however, is a large and disparate organisation and there is agreement that clearer integration of adult support and protection activities with the committee is called for. This relates to both channels of communication and to the NHS policies regarding patient protection. With respect to the former, it has been agreed that a single point of contact at board level for the whole of Tayside with respect to adult support and protection issues is called for. This will entail a clear role in co-ordinating NHS Tayside input to the Adult Support and Protection Committee and its sub-groups, and the formation of a single NHS Tayside clinical and managerial group to oversee and support implementation of adult support and protection arrangements. Among other points is the desirability of developing formal agreements between NHS representatives and Community Health Partnership Committees. This, and other aspects of collaborative working will also have to be informed by the on-going development by NHS Tayside of policies to ensure quality services and safeguarding for its patients. While progress is being made, **Recommendation 5** relates to such collaborative development.

10.5 Staff development, education and training

The staff development and training initiatives undertaken by Dundee City Council and multi-agency partners, including the NHS and police, have been extensive and appropriately targeted. All involved are to be congratulated. Individual initiatives have been carefully evaluated. Evaluation of the overall impact of training and staff development on the protection of adults in Dundee is an important issue to consider in the context of wider evaluation dealt with in Section 10.6, below. An important starting point is to get a clearer picture of education and training content, objectives and trainees and their number across all principal agencies involved in education training (**Recommendation 6**).

10.6 Evaluation

Specific aspects of adult support and protection in Dundee have been undertaken and are reported above. However, the committee is in agreement that a more wide-ranging evaluation should be undertaken. This will draw on processes integral to present practice, e.g. self-evaluation and case file audit, but will need to extend to systematic collection of information, possibly through interviews with stakeholders

and surveys. **Recommendation 7** reinforces the intention to undertake a wider evaluation of the work.

11. Recommendations

The following recommendations are based on the conclusions drawn in the previous section. The intention is to prioritise these areas in order to guide the work of the committee and practitioners in the coming months, complementing the on-going work on a wide range of essential topics. Each recommendation is stated, together with its aim and who should be responsible for the work involved.

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.

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.

12. Future plans

The structures and procedures considered necessary to support and protect adults at-risk of harm in Dundee are complex and diverse. This state of affairs reflects the challenging nature of adult protection, and the complexity involved in the situations in which harm occurs or is perpetrated. The principal aim for the future must be to continue to enhance the integrated nature of our response to both preventing harm and dealing with allegations of harm, and its consequences. Though presented separately in this report, all areas discussed are closely linked, e.g. the education and training of staff - and their response to allegations of harm; supporting individuals at-risk of harm and their carers - and facilitating advocacy; the organisation of the committee itself - and hearing the voice of other stakeholders. Future work will focus on on-going improvement of all aspects of the service through monitoring and responding to feedback, as well as taking forward specific aspects of development as listed in Recommendations 1-7 above.

It is hoped that in the second biennial report due in 2012, coherence and effectiveness of the work will be apparent as the result of sustained and sophisticated evaluation, both formative and summative, i.e. through on-going improvement and demonstration of positive outcomes. Ultimately the acid test of our work is to be able to show that citizens at-risk of harm in Dundee both *feel* safer and *are* safer.



Appendices

Appendix I: Principles and definition of adult at-risk under the *Adult Support & Protection (Scotland) Act 2007*

Appendix II: Functions and membership of Adult Protection Committees

Appendix III: Dundee Adult Support & Protection Committee Governance arrangements

Appendix IV: Dundee City Council Adult Support & Protection Financial Information

Appendix V: City of Dundee Adult Support & Protection Committee: Business Plan 2010-2011

Appendix VI: Report on staff training and development Year 1 to October 2009

Appendix 1: Principles and definition of adult at-risk under the *Adult Support & Protection (Scotland) Act 2007*

The principles and definition of an adult at-risk if harm will be found in the Adult Support & Protection (Scotland) Act 2007 and in the related Code of Practice which will be found at:

<http://www.scotland.gov.uk/Publications/2009/01/30112831/3>

from which this appendix is taken.

1. This chapter provides a description of the principles of the legislation as set out in Sections 1 and 2 of the Act and the definition of "Adults at-risk" and "harm" (Sections 3 and 53 of the Act). It concludes with a short overview of offences under the Act.

Taking account of the principles of the Act

2. Sections 1 and 2 set out the general principles of the Act. They apply to any public body or office holder authorising any intervention or carrying out a function in relation to an adult. For example, they apply to any social worker, care provider or health professional intervening or performing a function under the Act.

3. This means that the following persons are **not** bound by the principles: the adult; the adult's nearest relative; the adult's primary carer; independent advocate; the adult's legal representative; and any guardian or attorney of the adult.

4. The Act requires the following principles to be applied when deciding which measure will be most suitable for meeting the needs of the individual. Any person or body taking a decision or action under the Act must be able to demonstrate that the principles in sections 1 and 2 have been applied.

5. The principles in Section 1 require that any intervention in an adult's affairs under the Act should:

- provide **benefit** to the adult which could not reasonably be provided without intervening in the adult's affairs; and
- is, of the range of options likely to fulfil the object of the intervention, the **least restrictive** to the adult's freedom.

Principles for performing functions

6. The principles in Section 2 require that any public body or office holder performing a function under Part 1 of the Act, in considering a decision or course of action, in addition to the general principles in Section 1, must have regard to the following:

- **the wishes of the adult** - any public body or office holder performing a function or making a decision must have regard to the present and past wishes and feelings of the adult, where they are relevant to the exercise of the

function, and in so far as they can be ascertained. Efforts must be made to assist and facilitate communication using whatever method is appropriate to the needs of the individual. For example, where the adult has an Advance Statement made under Section 275 of the Mental Health (Care and Treatment) (Scotland) Act 2003 then this should be given due consideration.

- **the views of others** - the views of the adult's nearest relative, primary carer, and any guardian or attorney, and any other person who has an interest in the adult's well-being or property, must be taken into account, if such views are relevant.

It is important that the adult has the choice to maintain existing family and social contacts. What the Act seeks to provide is support additional to the networks that may already be in place. Thus a person who may be an adult at-risk may have neighbours or friends who have an interest in his/her well-being and are willing to give support. Every effort should be made to ensure that any action taken under the Act does not have an adverse affect on this.

- **the importance of the adult participating as fully as possible** - the adult should participate as fully as possible in any decisions being made. It is therefore essential that the adult is also provided with information to help that participation (in a way that is most likely to be understood by the adult). Where the adult needs help to communicate (for example, translation services or signing) then these needs should be considered. Any unmet need should be recorded.

Wherever practicable the adult should be kept fully informed at every stage of the process, for example, whether an order has been granted, what powers it carries, what will happen next, whether they have the right to refuse, what other options are available etc.

- **that the adult is not treated less favourably** - there is a need to ensure that the adult is not treated, without justification, any less favourably than the way in which a person who is not an "adult at-risk" would be treated in a comparable situation; and
- **the adults abilities, background and characteristics** - including, the adult's age, sex, sexual orientation, religious persuasion, racial origin, ethnic group and cultural and linguistic heritage.

7. For the purposes of these principles, making a decision not to act is still considered as taking a decision and the reasons for taking this course of action should be recorded as a matter of good practice.

Who is an adult at-risk?

8. The Act refers throughout to "adult". In terms of Section 53 of the Act, "adult" means a person aged 16 or over.

Adult at-risk - Section 3(1) defines "adults at-risk" as adults who:

- are unable to safeguard their own well-being, property, rights or other interests;
- are at-risk of harm; and
- because they are affected by disability, mental disorder, illness or physical or mental infirmity, are more vulnerable to being harmed than adults who are not so affected.

9. The presence of a particular condition does not automatically mean an adult is an "adult at-risk". Someone could have a disability but be able to safeguard their well-being etc. It is important to stress that all three elements of this definition must be met. It is the whole of an adult's particular circumstances which can combine to make them more vulnerable to harm than others.

Risk of harm - Section 3(2) makes clear that an "adult" is at-risk of "harm" if:

- another person's conduct is causing (or is likely to cause) the adult to be harmed, or
- the adult is engaging (or is likely to engage) in conduct which causes (or is likely to cause) self-harm.

10. The assessment of "harm" and the "risk of harm" are important elements under the Act. The definition of "adults at-risk" requires an assessment to be made about the "risk of harm" to the individual at the outset.

11. Because any protection order under the Act represents a serious intervention in an adult's life, a sheriff must be satisfied that an adult is at-risk of serious harm, rather than harm, before granting any such order.

Harm - Section 53 states harm includes all harmful conduct and, in particular includes:

- conduct which causes physical harm,
- conduct which causes psychological harm (for example by causing fear, alarm or distress),
- unlawful conduct which appropriates or adversely affects property, rights or interests (for example theft, fraud, embezzlement or extortion),
- conduct which causes self-harm.

12. The definition of "harm" in the Act sets out the main broad categories of harm that are included. The list in the definition is not exhaustive and no category of harm is excluded simply because it is not explicitly listed. In general terms, behaviours that constitute 'harm' to others can be physical (including neglect), emotional, financial, sexual or a combination of these. Also, what constitutes serious harm will be different for different persons

Appendix II: Functions and membership of Adult Protection Committees

The functions of the Adult Protection Committees will include:

1. developing and introducing arrangements and protocols for inter-agency working and auditing and evaluating the effectiveness of these arrangements;
2. developing procedures, policies and strategies for protecting adults at-risk and reviewing these;
3. developing and introducing arrangements to monitor, review, disseminate and report activity in relation to the protection of adults at-risk. For example this might include gathering key information relating to:
 - 3.1. numbers of inquiries and investigations;
 - 3.2. the number of adult protection referrals by age, client group, gender etc;
 - 3.3. types of harm;
 - 3.4. agency involvement;
 - 3.5. outcome of referrals and recommendations; and number of initial case conferences convened;
4. raising awareness and providing information and advice to the wider community and to professionals;
5. training and development activities;
6. improving local ways of working in light of knowledge gained through local and national experience, case review and research; and
7. undertaking any other functions relating to the safeguarding of individuals as the Scottish Ministers may specify.

Membership

Councils will be responsible for appointing a committee convener and committee members with relevant skills and knowledge.

The convener must be independent and not be a member or officer of the council.

Committee members must be appointed in accordance with the following requirements:

- The following bodies must nominate a representative with the skills and knowledge relevant to the functions of the APC to be a committee member:
 - the council;
 - the relevant Health Board;
 - the chief constable of the police force maintained in the council's area; and
 - any other public body or office holder specified by the Scottish Ministers (*Scottish Ministers have not specified any other bodies at the time of publication*);
- The Care Commission may nominate a representative with the relevant skills and knowledge if it wishes to do so; and
- The council may appoint such other persons as appear to have skills and knowledge relevant to the Committee. For example, this might include a member of a voluntary group, an independent care provider etc.

Procedures

Each Committee will establish and regulate its own procedures, which must allow representatives from the following organisations to attend committee meetings:

- the Mental Welfare Commission for Scotland;
- the Public Guardian;
- the Care Commission, where it is not represented on the committee; and
- any other public body or office-holder specified by the Scottish Ministers.

Information sharing

The following bodies must provide the committee with any information that the committee may reasonable require to enable it to carry out its functions:

- the council;
- the Care Commission;
- the relevant Health Board;
- the chief constable of the police force maintained in the council's area;
- the Mental Welfare Commission for Scotland;
- the Public Guardian; and
- any other public body or office holder specified by the Scottish Ministers.
(Scottish Ministers have not specified any other bodies at the time of publication).

Reporting

The convener must produce a report every two years on the exercise of the committee's functions. Following approval by the committee, the report must be forwarded to:

- to the Scottish Ministers;
- the council;
- the Care Commission;
- the relevant Health Board;
- the chief constable of the police force maintained in the council's area;
- the Mental Welfare Commission for Scotland;
- the Public Guardian; and
- any other public body or office holder specified by the Scottish Ministers.
(Scottish Ministers have not specified any other bodies at the time of publication).

Appendix II: Dundee Adult Support & Protection Committee Governance Arrangements

1. Background

In response to serious shortcomings in the protection and safeguarding of adults at-risk of harm in Scotland, the Scottish Government enacted the *Adult Support and Protection (Scotland) Act 2007* ('the Act'), implemented in October 2008. In April 2007 the Director of Social Work recommended to the Dundee City Council (DCC) Policy and Resources Committee that in response to the legislation, an Adult Protection Committee be established. The recommendation was accepted (16.04.07) and the process of establishing the Committee begun in July 2008. At the first meeting of the Committee (October 2008) it was agreed that in the light of the legislation the Committee would be designated the "*Adult Support and Protection Committee*".

The governance arrangements for the DCC ASP Committee are based on the provisions of the Act (Section 42) and the subsequent Scottish Government *Guidance for Adult Protection Committees, 2008*, the above mentioned Director of Social Work's 2007 report to the DCC Policy & Resources Committee, as well as objectives, policies and procedures developed through the Committee's operation in furtherance of implementing these requirements.

It should also be noted that the work of the Committee also has to take into account other relevant legislation, including the *Adults with Incapacity (Scotland) Act 2000* and the *Mental Health Care and Treatment (Scotland) Act 2003*.

The following sets out to ensure that the governance of the DCC ASP Committee follows relevant legislation and guidance as well as agreed local procedures and is:

- 1.1 in compliance with national legislation and guidance;
- 1.2 complies with local agreed policies and procedures;
- 1.3 accountable;
- 1.4 effective and efficient;
- 1.5 transparent;
- 1.6 equitable, inclusive and participatory;

2. Functions of the Adult Support and Protection Committee

In the light of the *Adult Support and Protection (Scotland) Act 2007* (Section 44), and the 2008 Scottish Government *Guidance for Adult Protection Committees*, the Committee will establish and regulate its own procedures. The functions of the Dundee Adult Support & Protection Committee as specified under the *Adult Support & Protection (Scotland) Act 2007* (Section 42) are:

- (a) to keep under review the procedures and practices of the Council, the Care Commission, NHS Tayside, the Chief Constable of Tayside Police which relate to the safeguarding of adults at-risk present in the Council's area

(including, in particular, any such procedures and practices which involve co-operation between them),

- (b) to give information or advice, or make proposals, to the Council, the Care Commission, NHS Tayside, the Chief Constable of Tayside Police on the exercise of functions which relate to the safeguarding of adults at-risk present in the Council's area,
- (c) to make, or assist in or encourage the making of, arrangements for improving the skills and knowledge of officers or employees of the Council, the Care Commission, NHS Tayside, and the Chief Constable of Tayside Police who have responsibilities relating to the safeguarding of adults at-risk present in the Council's area,
- (d) any other function relating to the safeguarding of adults at-risk as the Scottish Ministers may by order specify.

In furtherance of these functions the Committee undertakes:

- 2.1 development and introduction of arrangements and protocols for inter-agency working and the auditing and evaluation of the effectiveness of these arrangements;
- 2.2 publication of a strategic and business plan and the monitoring of its implementation;
- 2.3 improvement of co-operation between each of the relevant public bodies and office holders, i.e:
 - 2.3.1 Dundee City Council
 - 2.3.2 the Care Commission
 - 2.3.3 NHS Tayside
 - 2.3.4 Tayside Police
 - 2.3.5 and any other public body or office holder as the Scottish Ministers may by order specify
- 2.4 development of procedures, policies and strategies for protecting adults at-risk and their review;
- 2.5 ascertainment of the risk of harm to adults at both a city-wide level and with respect to individuals covered by the Act;
- 2.6 the development and introduction of arrangements to monitor, review, disseminate and report activity in relation to the protection of adults at-risk, including gathering key information relating to:

- 2.6.1 numbers of referrals by age, client group, gender etc;
- 2.6.2 the number of reviews, inquiries and investigations;
- 2.6.3 processes and timescales following referral;
- 2.6.4 use of orders under the Act;
- 2.6.5 types of harm;
- 2.6.6 agency involvement;
- 2.7 the review of the outcome of referrals and recommendations including views and satisfaction of at-risk individuals, family members and independent advocates
- 2.8 awareness raising and provision of information and advice to the wider community and to professionals in Dundee;
- 2.9 to ensure that information sharing is effective and transparent and that the following bodies provide the Committee with any information that the Committee may reasonably require to enable it to carry out its functions:
 - 2.9.1 the Council;
 - 2.9.2 the Care Commission;
 - 2.9.3 the relevant Health Board;
 - 2.9.4 the chief constable of the police force maintained in the Council's area;
 - 2.9.5 the Mental Welfare Commission for Scotland;
 - 2.9.6 the Public Guardian;
 - 2.9.7 any other public body or office holder specified by the Scottish Ministers.
 - 2.9.8 ensuring effective multiagency training and developmental activities;
 - 2.9.9 improving local ways of working in light of knowledge gained through local and national experience, case review and research;
 - 2.9.10 ensuring robust self-evaluation and audit of multiagency adult protection activity;
 - 2.9.11 undertaking any other functions relating to the safeguarding of individuals as the Scottish Ministers may specify.

3. Membership and operation

3.1 *Independent Convener*

In compliance with Section 43 of the *Adult Support & Protection (Scotland) Act 2007*, the independent convener will be appointed by the Council. The requirement for such an appointment as noted in the Act and the guidance is that the convener will be independent of the Council and seen to be independent in thought and action as well as someone who has the necessary skills and knowledge. The convener will be independent of all representative bodies. The partnership organisations together will endeavour to recruit for the convener position together.

3.2 *Membership of the Committee*

Membership of the Committee will be determined by requirements under the Act and the identification of local agencies deemed relevant to developing adult protection policies and processes. In line with the provision of the Act (Section 38) and the associated guidance, the Council will have discretion to appoint other representatives who can bring particular expertise to the Committee .

Committee members will be appointed by DCC. The following bodies must, under the legislation, nominate a representative with the skills and knowledge relevant to the functions of the Adult Protection Committee to be a Committee member:

3.2.1 the Council;

3.2.2 the relevant health board;

3.2.3 the chief constable of the police force maintained in the Council's area;
and

3.2.4 any other public body or office holder specified by the Scottish Ministers (*Scottish Ministers have not specified any other bodies at the time of publication*);

3.2.5 The Care Commission may nominate a representative with the relevant skills and knowledge if it wishes to do so; and

3.2.6 The Council may appoint such other persons as appear to have skills and knowledge relevant to the Committee. For example, this might include a member of a voluntary group, an independent care provider etc.

3.2.7 Representatives from the following organisations will also be invited to attend Committee meetings:

the Mental Welfare Commission for Scotland;
the Public Guardian.

3.3 *Frequency of meetings*

The Committee will meet every two months.

3.4 *Quorum*

For a meeting to commence, a quorum of six including the Convener and a representative of the Council shall require to be present. In any meeting, at least three different agencies will require to be represented, the departments of Dundee City Council being regarded as one agency for this purpose.

3.5 *Sub-Committees*

The Committee may appoint sub-committees or working groups from time to time for specific purposes and for specified periods which shall report back to the Committee to ensure that any issue raised by the sub-committee or working group is addressed by the Committee.

3.6 *Administration*

Administrative support will be provided to the Committee by the Council.

4. Authority and accountability

Against the background of local councils, NHS Boards and the police recognising the statutory functions which will be carried by DCC ASP Committee, and giving it the authority to carry out these functions effectively, the Committee will:

- 4.1 be accountable to the Dundee Chief Officer Group (COG); any disagreements between the Committee and the COG will be referred for resolution to the DCC Chief Executive in the context of the statutory duties of the Committee
- 4.2 The convener will report to the Scottish Government every two years as required by the Act. Following approval of the report by the Committee and by the DCC Policy and Resources Committee, it will be forwarded to:
 - 4.2.1 the Scottish Ministers;
 - 4.2.2 the Council;
 - 4.2.3 the Care Commission;
 - 4.2.4 the relevant Health Board;
 - 4.2.5 the chief constable of the police force maintained in the Council's area;

4.2.6 the Mental Welfare Commission for Scotland;

4.2.7 the Public Guardian; and

4.2.8 any other public body or office holder specified by the Scottish Ministers.

4.3 The report will meet the specification in Sections 53-57 of the Scottish *Government Guidance for Adult Protection Committees* and the report template developed by a sub-committee of the national independent convener group.

5. Collaborative working

5.1 The Committee will be represented on the Tayside-wide Adult Protection Group and will work with the Angus and Perth & Kinross Adult Protection Committees to effect improved co-operation and efficiency across the region;

5.2 The Committee will liaise through the convener with relevant agencies in the city to ensure that adult support and protection is embedded in wider public protection policy, notably:

5.2.1 Children and Young People Protection Committee

5.2.2 Dundee Violence Against Women Partnership

5.2.3 Dundee Multiagency Public Protection Arrangements

5.2.4 Community Safety Partnership

5.2.5 DCC Education Department

5.2.6 Relevant voluntary agency and service user groups

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Appendix IV: Dundee City Council Adult Support & Protection Financial Information

1 April 2009-31 March 2010

Adult Support and Protection (Scotland) Act 2007 - Survey

1: Expenditure

	Total Spend £,000's
1 April 2009 - 31 March 2010	419.6

2: Staffing - Social workers and care managers

	Number of staff		Total cost
	Temporary	Permanent	£,000s
1 April 2009 - 31 March 2010		6.70	256

3: Staffing - Administrative support staff

	Number of staff		Total cost
	Temporary	Permanent	£,000s
1 April 2009 - 31 March 2010		0.60	10

4: Staffing - Other staff

	Number of staff				Total cost
	Adult Protection Unit	Management	Legal	Other (please specify)	£,000s
1 April 2009 - 31 March 2010	3.5				71

5: Adult Protection Committees

What is the annual cost of your convener?

	10	
What is the annual running cost of your ASP Committee?	7	

6: Training

Total Training Costs

	Total cost £,000's
1 April 2009 - 31 March 2010	15

7: Advocacy**Total Advocacy referrals**

	Referrals	Total cost £,000's
1 April 2009 - 31 March 2010	3	

8: Other Costs

Other Expenditure

	Total spend £,000s			
	Set-up and other one-off costs	Commissioning Costs	Legal Costs	Other Costs
1 April 2009 - 31 March 2010	24			27

9: Adult Protection Committees

Have you appointed a convener?

If yes, is the appointment temporary or permanent?

If no, when do you expect to make an appointment?

How often has your ASP Committee met?

Yes
Temp
Date:
5x's in April 09 - Mar 10

10: Referrals, Inquiries and Investigations

	Referrals	Inquiries	Investigations
1 April 2009 - 31 March 2010	77	77	48

Outcome of Inquiry or Investigation

	Number of Inquiries or Investigations resulting in:		
	Further Action under ASP Act	Alternative Action (non-ASP)	No Further Action
1 April 2009 - 31 March 2010	48	20	9

Professional Concern Meetings

	Number of referrals resulting in planning meetings or professional concern meetings
1 April 2009 - 31 March 2010	48

Case Conferences

	Number of case conferences	Number of case conference reviews
1 April 2009 - 31 March 2010	10	14

11: Protection orders

	Consideration for Application	Applications Made	Successful Applications
Assessment orders	0	0	0
Removal orders	0	0	0
Banning (including temporary banning) orders	2	2	2

Please return to:

Stuart Johnston

COSLA

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Monday 27th September

Appendix V: City of Dundee Adult Support & Protection Committee: Business Plan 2010-2011

Dundee Adult and Support Protection Committee Business Plan 2010- 2011

1 Public Information

Adult Support and Protection committees are required to develop, produce and disseminate information to the public about protecting adults in need of support and protection

- Raise awareness of adults in need of support and protection within communities
- Promote the work of all agencies in the protection of adults in need of support and protection
- Provide information on where the public should go if they have concern about an adult who may be in need of support and protection

Objective	What are we going to do?	What resources are required	How will we know we have done it?	By whom?	By When?
Produce and disseminate public information					
Continue to develop a communication strategy and increase awareness and involvement of the wider community in adult support and protection	Communication and Public Information working group established. Ongoing consultation with service providers and general public	Staff time	Dundee 'Act Against Harm Campaign' launched. A range of public information materials have been launched.	Communication Group	Completed Dec 09 On-going
To provide information on where the public should go if they have concerns about an adult who may be in need of support and protection	Increase public awareness of ASP work by providing an annual report to be available on the ASP website. Public information is available at	Staff time Finance	Annual report published Bi annual report and updated business plan	ASPC Chair Lead Officers	October 2010

Objective Produce and disseminate public information	What are we going to do?	What resources are required	How will we know we have done it?	By whom?	By When?
	public access points e.g. libraries, GP surgeries, etc				On-going
To promote the work of all agencies in the protection of adults in need of support and protection	A 'Protecting People of All Ages' booklet is being produced by local Community Planning Partnerships, Violence Against Women Partnership, Community Safety Panels, Voluntary Agencies	Staff Time Community Rep time	The Booklet will be widely available in public access points. Increase in protecting people referrals Data Sets	Reps from Communication Group Community reps Senior Officers and reps of partner agencies	3 monthly progress monitored via data sets
To consolidate awareness of Dundee ASPC website to professionals, service users and members of the public.	Consolidate the range of available publicity and continue to maximise press and media coverage	Staff Finance	Media coverage of Adult Support and Protection/Act Against Harm issues Record number of 'hits ' on website Increase in numbers of referrals	Communication Group	Quarterly monitoring
Work with other lead Officers on communicating the Protecting People Agenda to the wider public	Link with Child Protection, Violence Against Women Partnership and MAPPA in publicity campaigns	Staff Time Publicity material	Shared timetable of events to be drawn up by the agencies involved Quarterly newsletter to be produced	Relevant staff	Quarterly

2 Continuous Improvement

ASPC have a key role to play in the continuous improvement of adult support and protection work. A number of functions relate directly to this role. These are;

- policies, procedures and protocols;
- management information;
- quality assurance and self evaluation;
- promotion of good practice; and
- training and staff development

3 Policies, Procedures and protocols

- Ensure that constituent inter-agency procedures are vital to the support and protection of adults
- Regularly develop, disseminate and review inter-agency policies and procedures;
- Ensure that protocols are developed around key issues where there is agreement that this is required

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When?
To introduce arrangements and operating procedures for multi agency working.	Establish Policies, Practice and Procedures Sub-group Operating procedures in place. To be reviewed by the ASPC Policies, Practice and Procedures Group	Staff time Finance	Procedures in place and disseminated	Implementation Group SO ASP	November 2010 To be reviewed annually

<p>To regularly develop, disseminate and review single and inter-agency policies and procedures;</p> <p>To develop a city wide assessment including risk assessment and protective factors.</p>	<p>The operating procedures will be reviewed by the Dundee Adult Support and Protection Committee</p> <p>Embed risk assessment as part of assessment of need.</p>	<p>Staff time</p> <p>Staff time</p>	<p>Revised operating procedures to be in place</p> <p>Assessments in place for service users</p>	<p>Implementation group</p> <p>SO Adult support and Protection Staff from implementation group.</p>	<p>3 monthly review Annually</p> <p>to be confirmed</p>
<p>To design policies and strategies for protecting adults at-risk of harm, keeping these under review</p>	<p>Establish a set of standards/quality Indicators (check with SG)</p>	<p>Staff time</p> <p>Time of Chair of ASPC</p>	<p>Standards/quality Indicators will be in place</p>	<p>Chair of ASPC</p> <p>SO ASPC</p>	<p>Pilot over summer</p> <p>November 2010</p>
<p>To review and update the Tayside Protocol on 'Protecting Vulnerable Adults in Tayside'</p>	<p>To be updated in light of the new legislation</p>	<p>Staff time</p> <p>Finance</p>	<p>New Protocol to be in place</p>	<p>Tayside Wide Group</p>	<p>November 2010</p>
<p>To develop policy and practice through consideration of national and international developments in the field of adult support and protection</p>	<p>Continually consider developments and amend out own policy and practice in light of any learning.</p>	<p>Staff Time</p>	<p>Reports to ASPC</p> <p>Amended policy and practice in place</p>	<p>Senior Officer Adult Support and Protection Implementation Group</p> <p>Policies, Practice and Procedures sub-group</p>	<p>On-going but at least annually</p>

To ensure that protocols are developed around key issues where there is agreement that this is required	Highlight key issues for self evaluation to inform future protocols.	Staff Time	Protocols in place	Senior Officer Adult Support and protection	Following each significant case review Following each practice case review.
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4 Management Information

ASPC's will have an overview of management information from all key agencies about their work to protection adults in need of support and protection. The ASPC will;

- have an overview of information relating to adults who may in need of support and protection
- receive regular management information reports, which include analysis of trends;
- identify and address the implications of these reports for services; and
- ensure that these reports inform the inter-agency strategy

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When?
To have an overview of information relating to adults who may in need of support and protection	Develop further and maintain systems to support the monitoring and review the outcome for the adult.	Data sets to be established and presented to ASPC	We will have information on; number of inquiries, investigations by age, service areas, gender and other characteristics Outcome focussed performance	ASPC Senior Officer Information Tayside working group	Every three months, commencing April 10

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When?
	Regularly consider adult protection statistical information and trend information to inform practice, service delivery.		<p>Number of Initial referral discussions</p> <p>Number of adult case conferences and reason for cc. e.g. type of harm, mistreatment and neglect</p> <p>The ASPC be aware of which services are vulnerable or are facing particular pressures</p>		
To ensure that all agencies have robust information systems that effectively account for the work of their staff.	<p>Develop and implement regular management information reports, which include analysis of trends.</p> <p>Explore technology in respect of communication between IT systems</p>	<p>Staff time</p> <p>Staff time</p>	<p>Reports will be available to the ASPC and CO's</p> <p>These reports inform the inter-agency strategy</p> <p>Systems will be in place to demonstrate joint performance</p>	<p>Senior Officer Information</p> <p>Data Sharing Partnership</p> <p>IT staff in all agencies</p>	<p>3 monthly</p> <p>April 2012</p>

5 Quality Assurance, Self Evaluation and Promotion of Good practice

The ASPC will;

- Agree, implement and review multi agency quality assurance mechanisms for inter agency work, including auditing
- Ensure that these quality assurance mechanisms directly contribute to the continuous improvement of services to protect adults who may be in need of support and protection
- Contribute to the preparation for any inspection process
- Consider the findings and lessons from other inspections, inquiries and significant case reviews
- Report on the outcome of these activities, and make recommendations to the Chief Officer Group, who are accountable overall for the quality of services, including adults in need of support and protection

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When?
To develop and implement a system of audit to ensure that practice is evaluated	Develop and implement a self evaluation group To implement self evaluation that includes quality assurance mechanisms, case reviews that includes auditing inter-agency adult protection work	Staff time	Sub group will be in place Audit framework will be in place	National Audit Project	Oct 10
To have a framework for self-evaluation of services, established and implemented to ensure effective procedures are continually improved.	The ASPC have in place a system for identifying high risk areas/groups and report these to the CO's Group.	Staff time	The ASPC to have an overview of case reviews to inform future practice.	National Audit Project	Oct 10

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When?
	Develop audit and evaluation procedures to determine that these arrangements are effective, including the identification and consideration of special cases.		Framework will be in place and implemented	National Audit Project	Oct 10
To develop and introduce arrangements to monitor, review, disseminate and report activity in relation to the protection of adults at-risk of harm	The Adult Protection Committee will have the overall responsibility for the formal review of a significant case, and will undertake this role on behalf of, and will report with outcomes and recommendations to, the Chief Officers	Staff time	Systems will be in place	ASP Committee Delegated Staff	Oct 10
The ASPC will regularly review and improve the support to staff in the improvement of performance of agencies associated with the support and protection of adults	Monitor the provision and effectiveness of support systems for adults at-risk staff. This will include professional supervision, debriefing and counselling.	Implementation of Multi agency protocol for support of employees affected by critical incidents. Critical Debriefing Training to be commissioned	Feedback from staff Feedback from staff support Sickness Absence management Data A core group of staff in DCCC will be trained in critical debriefing	Line Managers Counselling services Delegated staff	

6 Training and Staff Development

ASPC are responsible for promoting, commissioning and assuring the quality and delivery of inter-agency training.

The ASPC will;

- have an overview of single agency adult protection training and consider the implications of inter-agency training
- plan, review and quality assure inter-agency training and development activities
- have in place, and review at least annually, a programme for inter-agency adult protection training; and
- ensure relevant, effective and consistent inter-agency training is provided for practitioners, managers, non-statutory agencies and for ASPC members

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By When
To ensure that the ASP Committee implement the Adult Protection Training Framework	Undertake training and staff development with identified professional paid staff, and other relevant multi agency workforce development	Staff Finance	Framework in place All learning and development in Dundee will be planned to meet the learning outcomes of this training framework	Training sub group	ongoing 6 monthly reporting.
To have an overview of single agency adult protection training and consider the implications of inter-agency training.	Monitor the provision and effectiveness of support systems for staff working with adults at-risk. This will include professional supervision, debriefing and counselling.	Staff Finance	To have in place, and review at least annually, a programme for inter-agency adult protection training;	Training sub group	Annually

To ensure relevant, effective and consistent inter-agency training is provided for practitioners, managers, non-statutory agencies and for ASPC members	Plan, review and quality assure inter-agency training and development activities	Staff Finance	The skills and knowledge of officers or employees will have improved Improved quality and appropriateness of referrals Accredited staff in place	Training sub group	Ongoing
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7 Strategic Planning

The ASPC is the key local body in terms of the planning of adult support and protection work. This requires to be done in conjunction with other planning mechanisms and priorities, in particular, Community Safety Partnership, Community Planning, and Health and Local Authority Management group.

The contribution of the ASPC to strategic planning falls into three broad categories:

- Communication and co-operation;
- Planning and connections; and
- Public information (as stated earlier)

8 Communication and Co-operation

Effective The ASPC will;

- Demonstrate effective communication and cooperation at ASPC level;
- Actively promote effective communication and collaboration between agencies;
- Identify and, wherever possible resolve any issues between agencies in relation to the support and protection of adults;
- Demonstrate effective communication with other inter-agency bodies;
- Demonstrate effective communication about the work of the ASPC with staff in constitute agencies; and
- Identify opportunities to share knowledge, skills and learning with other ASPC's

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By when?
Chief Officers, to have in place governance arrangements	Governance Arrangements to be implemented	Staff	Governance Framework will be in place and available on publicity material	CO Chair of ASPC SO ASP	September 2010 (completed)
Establish effective ways of communicating decisions and discussion at ASPC to staff in all agencies.	Include ASP in all induction material in all agencies. Through relevant bulletins in all agencies, e.g. CO briefings	Staff time	Bulletin Website Minutes of ASP committee and the subgroups to be placed on the website. Regular information for partners will be produced from the Chief Officer Group	SO ASP Communication Group	Ongoing Following approval of minutes
To continue to enhance effective and joined up working with relevant local agencies in related protection fields, e.g. child protection, adult protection, public protection, domestic violence, human trafficking and multi agency working	Implement the use of multi agency protocols, to reinforce culture shift and partnership. Standing items on agendas of relevant multi agency committees Ensure appropriate representation at ASPC is achieved	Staff time Staff time	Staff surveys Minutes of meeting Audits/self evaluation Increased participation in ASP activity Minutes with attendance	Practitioners Forum All staff ASPC Agency participation	Ongoing In line with timeframe of other partnership meetings. Annual Report Quarterly data sets

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom?	By when?
To ensure an effective and efficient data sharing system is in place	Explore IT framework at national and local level	Staff time	Framework for sharing information will be in place	Scottish Government Local IT National Practice Forum	Dec 2011
To identify opportunities to share knowledge, skills and learning with other ASPC's	Chair of ASPC to meet with other ASPC chairs Participate in the Tayside Adult Support and Protection Steering Committee	Chair time	Minutes of meetings will be circulated Events will be planned and recorded	Chair of ASPC	3 monthly for meetings. Other 3 monthly for meetings Other events ongoing

9 Planning and connections

The ASPC links into other multi agency partnerships and structures

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom	By when?
Review ASP members continue to participate in strategic planning groups related to violence against women, community safety partnerships, Children's Services planning Community Care planning etc.	Undertake review and ensure adequate representation is in place	Staff time	Representation at meetings, Attendance at meetings Minutes Appropriate ASP references in other community plans	All staff SO ASP Self evaluation sub group	Ongoing

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom	By when?
To identify issues where either joint working would be beneficial or duplication could be avoided	Undertake Strategic mapping and matching activity	Staff time	Issues have been identified	SO ASP	Ongoing
Business will be regularly reviewed by the Adult Support & Protection Committee to ensure objectives are being met.	Review achievement of objectives annually	Staff and Committee time	Issue revised business policy	ASPC	31 October 2011

10 *Listening and Involving adults in need of support and protection and where appropriate their carers

- Work is informed from the perspective of the adult in need of support and protection;
- Adults in need of support and protection are involved in the development and implementation of public information and communication strategies

***This section will be undertaken with a range of service users and advocates from the communication strategy group and events.**

Objective	What are we going to do?	What resources are required?	How will we know we have done it?	By whom	By when?
To draw on the experience of the voluntary sector in eliciting the view of adults	Promote advocacy services by Organise programme of communication with external providers and other representative groups	Time of ASPC members	Feedback to Committee on views expressed	Committee members	Ongoing
To improve decision making and recording practices to ensure the view of the adult is better reflected.	Review information from practice audits	Staff time	Report of functions to ASPC	Lead Officer and Review Officer	Ongoing
Ensure views are responded to through the application of inter-agency quality assurance/self evaluation	Conduct self evaluation exercises	Staff time	Evidence from self evaluation	Self evaluation sub group of ASPC	Ongoing

Appendix VI: Report on staff training and development Year 1 to October 2009

REPORT TO: ADULT SUPPORT AND PROTECTION COMMITTEE - 8TH October 2009

REPORT ON: Adult Support and Protection - Learning, Development and Training

REPORT BY: Frances Greig, Service Manager, Learning and Workforce Development Dundee City Council Social Work Department

REPORT NO: (COMMITTEE SERVICES OFFICER TO COMPLETE)

1.0 PURPOSE OF REPORT

The purpose of this report is to update the Committee on Adult Support and Protection training and development in Dundee, to report on the progress to date and outline proposals for the development and delivery of training requirements which relate to the 3 levels of the national training framework.

2.0 RECOMMENDATIONS

It is recommended that the committee take note of the contents of this report and;

agrees the formulation of a Learning and Development sub-group for Adult Support and Protection to take a lead role to plan and develop single and multi-agency training and workplace learning events specific to Adult protection

3.0 FINANCIAL IMPLICATIONS

There are no additional financial implications as existing resources are being used including an increase in staffing capacity in the Learning and Workforce Development Service in Social Work and the £14,000 allocation from staff development ASP monies. Any financial implications will be brought to a future committee as planning progresses.

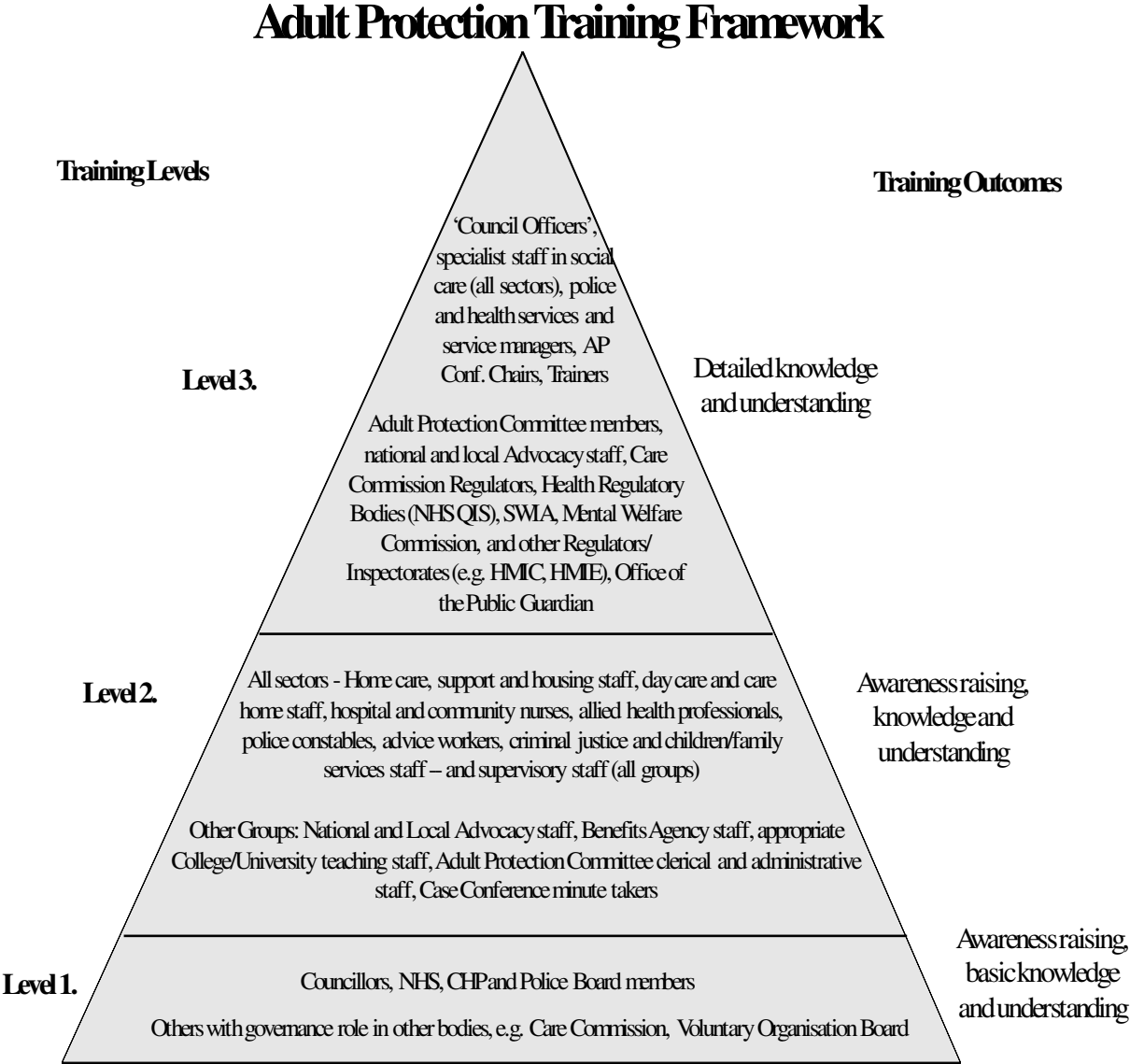
4.0 MAIN TEXT

4.1 Adult Support and Protection Learning and Development

It was agreed at the committee in March 2009 that Adult Support and Protection training and development would be discussed in October 2009 which would allow some time to make some initial progress about what is required and how core and targeted training can be delivered.

Since the introduction of the Adult Support and Protection (Scotland) Act 2007, there has been much activity nationally and locally to consider what the learning and development needs of the workforce will be and what the implications are of the legislation for both agencies and individuals. There has been significant emphasis on general awareness-raising about the legislation, mainly on a single agency basis which is the requirement of the Act. Multi- agency learning and development will take considerable joint planning, co-ordination, development and delivery and therefore will require a model of multi agency learning and training to be developed. There has been some progress 'joining up' thinking on a Tayside-wide basis between the three local authorities and Tayside Police but this will need to be further developed strategically, if we are to support and protect adults at-risk and any subsequent practice needs which will arise as the Act and as more evidence emerges in relation to service user's experience and practice developments.

4.2 Progress to date and future considerations - The Training Framework - 3 levels



All learning and development will be planned to meet the learning outcomes of the Training Framework and be underpinned by the main areas of the Key Capabilities:

- Knowledge and understanding
- Effective Communication
- Values and ethical practice
- Professional confidence and competence

4.3 Level 1- GOVERNANCE

Briefing presentations are required for Police Boards, Councillors, the Social Work Department Directorate and the ASP Committee. This is the responsibility of the individual agencies and is delivered on a single agency basis. Tayside Police, NHS

Tayside and Dundee City Council have done this. There may be some gaps in the private and voluntary sector but this is difficult to quantify. In Dundee City Council our contracts section have cascaded briefing information to the care and support providers who provide services on our behalf.

Level 1

Target Group	Training/Leaning Event	completed	Date
• Elected members	Briefing presentations ASP 2007 (Scotland) Act	✓	2008
• Social Work Directorate		✓	2008
• ASP Committee		✓	2009

4.4 Level 2 - GENERAL-STAFF ALL SECTORS

This level is for staff and line managers working in any sector who need to have awareness and be able to recognise the signs of harm, neglect or exploitation and require to know when and how to respond, what action to take and how they fit into a protection plan.

Although some of the level 2 learning requirements have been met by the ½ and 2 day training courses delivered between 2006 and 2008 on a multi agency basis in Dundee, further awareness training is required to fulfil the full requirements of the new legislation. Delivery will be in the following formats:

Briefing presentations and workshops

A cascading approach has been implemented to brief all teams about what the Adult Support and Protection (Scotland) Act 2007 will offer adults at-risk and induction programmes now include protecting people to ensure that level 2 requirements are met at the earliest someone starts working in their employing agency.

New staff coming into the social work department will continue to have Protecting People as part of core induction. This will be the approach across all agencies responsible for the protection of people in Dundee.

Level 2

Target Groups	Training/Learning Event	Numbers completed	Date
<ul style="list-style-type: none"> Community Care senior management team 	Briefing presentations	32	March 2009
<ul style="list-style-type: none"> Teams in Community Care, Children's Services, Criminal Justice Services 	Cascaded information and presentations via team managers	700	March-April 2009
<ul style="list-style-type: none"> New Social Work Staff Front-line staff including home care staff 	Induction programme-protecting people awareness ½ day awareness raising	65 723 social work staff and 210 health, housing and the voluntary sector	March- October 2009 2007/2008

Future Delivery Requirements at level 2

Protecting People Awareness

A project group commenced work on awareness level training in April 2009 to plan future delivery. The course material for Protecting People is being developed across the 3 local authority areas by Jane Finlayson, Dundee, Mary Notman, Perth and Kinross and Roger Bromage, Angus and delivery is planned from December 2009. There has been close involvement of Service users in the development of this programme and materials. This training package can be shared and delivered on a multi-agency basis across Tayside. Further planning as to how this will be delivered is currently underway.

This training will incorporate Adult, Child and Public Protection. It will replace previous awareness training in these separate areas, therefore all staff that do not have line management responsibilities will be required to attend. An Adult Support and Protection DVD is being developed in Tayside which will also enhance awareness raising. This can be shared and delivered on a multi-agency basis.

All staff that attend future multi-agency training will have received a level of knowledge and understanding of their own agency's policy and procedures first to ensure they all come in at a similar level.

4.5 Level 3 – DETAILED KNOWLEDGE AND UNDERSTANDING

This level is for staff working in any sector who play a major part in communications, assessment, recording events and decision-making on actions to be taken. They will have a major role in the implementation of protection plans, including legal processes. It is also for staff managing services and staff in other areas of work such as governance, advocacy and education. Level 3 is the main area for multi agency targeted and specialist training relating to the ASP Act and any practice development in the future.

Training for Trainers

To date 13 staff have attended 2 day training for trainers which has allowed them to explore the ASP Act and has introduced them to the national suite of training materials. It is envisaged that this group of staff will support some of the learning events in level 3.

Case Study Workshops

In Community Care, Service Managers have delivered practice, experiential workshops for social work staff who have been identified as operating as Council Officers within the legislation.

The Support and Protection of Adults at-risk for Council Officers

Social Work Department Council Officers have attended a 1day training, delivered by Mental Health Law in Practice, to explore the powers and duties of the Act. This training make links to practice using case scenarios and explore multi-agency roles and responsibilities. Mental Health Law in Practice can be commissioned to deliver a similar course on a multi-agency basis, however planning, co-ordination, administration and funding processes will first need to be put in place.

Pilot - Adult Support and Protection Investigative Interviewing Training

A Tayside model of investigative interviewing training based on the National Child Protection Interview Guidelines has been developed into an Adult Protection context by the Tayside working group. This group consists of Jane Finlayson, Dundee, Mary Notman, Perth and Kinross, Roger Bromage, Angus and Kirsty Keays Tayside Police. The pilot is delivered by an externally commissioned trainer with experience of the child interviewing model, along with experienced Adult Services Team Managers and Senior Learning and Development Officers. Delivery of the pilot will be completed in October 2009 and the evaluation of the pilot will inform the next steps.

Chairing and Managing Case Conferences

The Learning and Workforce Development Service Development Service has commissioned a company called Reconstruct to deliver an event on chairing and managing case conferences. This event includes materials relevant for Service Managers involved in conferences for adults and children. All most Service Managers and officers involved in protection work have undertaken this event.

Ethical Case Recording

This SWD training was delivered in May 2009 to 200 social work staff by Frances Greig and Ray Wilson future dates are set for further events for 160 staff who hols case loads. Protection is a high priority in the delivery of this training, particularly in relation to Human Rights Legislation.

Signs of Safety

This is a protection assessment and planning protocol and comprehensive risk assessment: incorporating both danger and safety and the perspectives of both professional and service recipients. Two day training course on theory and skill followed by 3 practice workshops incorporating Video Enhanced Reflective Practice. It should be noted, however, that the approach to risk assessment in future will be the subject of review and this particular approach may not be employed.

Level 3

Target Groups	Training/Learning Event	Numbers completed	Date
<ul style="list-style-type: none"> • Key Local Authority Staff, including, Learning and Development staff, and Social Work managers, • There was significant attendance from across the public sector and in particular Tayside Police 	Training the Trainers- national suite of training materials	13 - (within social work)- Numbers unavailable	2008/09

<ul style="list-style-type: none"> • Frontline staff, frontline managers and service managers in community care. • Community Care staff 	<p>Case study workshops in relation to ASP practice and procedures</p> <p>1 day conference/workshop "Decision-making in Adult Support and Protection"</p>	<p>60 Staff</p> <p>35 (This was attended by multi agency staff across Tayside, numbers to be identified) -</p>	<p>April 2009 - present</p> <p>June 2009</p>
Council Officers	Support and Protection of Adults at-risk- one day training event	104	July 2009-present
Council Officers and Tayside Police	Pilot Adult Support and Protection Investigative Interviewing – 4 1/2 days training	3 Dundee 3 Angus 3 Perth & Kinross 3 Tayside Police	September 2009- present
Council Officers	Court Witness Skills – 1 day	6 Social Work staff Tayside Police and appropriate adults numbers to be identified.	September 2009- present
Social Work Staff, practitioners and managers	Ethical Case Recording	200 across Social Work (160 in October 2009)	2009
Service Managers	Chairing and Managing Case Conferences – adult and child – 1 days training	13 Criminal Justice, Community Care, Children's Services	2008/09

Frontline staff, Frontline managers in Adult Services and Children's	Pilot: Looking for Signs of Safety 2 Day course, plus 3 practice workshops	18 Children's Services 3 Adult Services	Commenced September 2009
All social work Staff	Domestic Violence Awareness Workshop	115 staff	April 2008/present

Post Graduate Certificate in Adult Support and Protection, University of Dundee - to commence Autumn/Winter 2010.

This will be a multi-agency post qualifying award. The Social Work, Learning and Workforce Development Service is working within a multi -agency group to develop this award which will include the following:

- Report Writing
- Risk Assessment
- Assessment and Decision- making
- Core Groups and Care Planning
- Case Conferences
- Vulnerable Witness Scotland Act
- Staff supervision – Adult Support and Protection
- Initial Referral Discussion
- Information Sharing and Communication
- Local/Multi-agency guidance
- Consent and Capacity
- Self-evaluation

5.0 Learning and Workforce Development Sub-Group/Committee

There is a need to plan more training and development on a multi-disciplinary/agency basis for Adult Support and Protection and also link the cross cutting issues across all age groups e.g. parenting capacity and domestic violence. This will require a specific group of key individuals to prioritise, plan, co-ordinate on both single and multi agency basis. A communication process and accountability lines are required between all agency learning and development services and the committee to ensure that there is best use of available resources, to ensure quality and to avoid duplication. The purpose of the Learning and Workforce Development sub-group would be to:

- Ensure that inter-agency training needs are identified and appropriate measures are put in place to meet these needs.
- Implement the inter-agency Training Strategy of the Committee.

- Ensure that examples of good practice and recommendations for changes in practice arising from care reviews are incorporated into future training programmes.
- Ensure that all staff are aware of what is expected of them in relation to protecting adults at-risk.
- Advise inter-agency staff where to obtain specialist support and advice in relation to adult protection.
- Maintain links with the operational and quality and performance sub-group responsible for the production of guidelines in relation to training strategies.

5.1 Membership of the Learning and Workforce Development Sub-Group/Committee

It is proposed that the sub-group is chaired by the Service Manager or Senior Officer, Learning and Workforce Development, Social Work. The membership should include a representative from NHS Tayside, Tayside Police, an operational Team Manager/Senior Practitioner Social Work, the Senior Officer Adult Protection, Learning and Development Officer, and any other representation suggested by the Committee. The chair of the sub-group will report directly to the ASP Committee and communication across the other sub-groups will be shared by the learning and development officer and senior officer roles.

6.0 BACKGROUND PAPERS

Adult Support and Protection (Scotland) Act 2007

Adult Support and Protection, National Training Framework 2008